Child Care and Development Fund (CCDF) Plan

For

State/Territory: **ALABAMA**

FFY 2012-2013

This Plan describes the CCDF program to be administered by the State/Territory for the period 10/1/2011 – 9/30/2013. As provided for in the applicable statutes and regulations, the Lead Agency has the flexibility to modify this program at any time, including amending the options selected or described herein.

For purposes of simplicity and clarity, the specific provisions printed herein of applicable laws and regulations are sometimes paraphrases of, or excerpts and incomplete quotations from, the full text. The Lead Agency acknowledges its responsibility to adhere to them regardless of these modifications.

Public reporting burden for this collection of information is estimated to average 162.5 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.

Form ACF-118 Approved OMB Number XXX-XXX expires XXX.

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This section provides information on how the CCDF program is administered, including the designated Lead Agency, funding information, the administrative structure, program integrity and accountability policies and strategies, coordination efforts, and emergency preparedness plans and procedures.

1.1 Contact Information

The agency shown below has been designated by the Chief Executive Officer of the State (or Territory), to represent the State (or Territory) as the Lead Agency. The Lead Agency agrees to administer the program in accordance with applicable Federal laws and regulations and the provisions of this Plan, including the assurances and certifications appended hereto. (658D, 658E)

1.1.1 Who is the Lead Agency designated to administer the CCDF program? Identify the Lead Agency and Lead Agency's Chief Executive Officer designated by the State/Territory. ACF will send official grant correspondence such as grant awards, grant adjustments, Plan approvals and disallowance notifications to the designated contact identified here. (658D(a), §98.10)

> Name of Lead Agency: **Alabama Department of Human Resources**
> Address of Lead Agency:
> **50 N Ripley Street**
> **P. O. Box 04000**
> **Montgomery, AL 36130-4000**
> Name and Title of the Lead Agency's Chief Executive Officer:
> **Nancy C Buckner, Commissioner**
> Phone Number: **334-242-1160**
> Fax Number: **334-242-0198**
> E-Mail Address: **nancy.buckner@dhr.alabama.gov**
> Web Address for Lead Agency (if any):**www.dhr.alabama.gov**

1.1.2. Who is the CCDF administrator? Identify the CCDF administrator designated by the Lead Agency, the day-to-day contact, with responsibility for administering the State/Territory's CCDF program. ACF will send programmatic communications such as program announcements, program instructions, and data collection instructions to the designated contact identified here. **If there is more than one designated contact with equal or shared responsibility for administering the CCDF program, please identify the co-administrator or entity with administrative responsibilities and include contact information.** (§§98.16(a) and (c)(1))

> a) **Contact Information for CCDF Administrator:**
> Name of CCDF Administrator:

Terrie Reid, Interim State Administrator
Title of CCDF Administrator:
Deputy Commissioner, Family Resources
Address of CCDF Administrator:
50 N Ripley Street
P. O. Box 304000
Montgomery, AL 36130-4000
Phone Number: **334-242-9378**
Fax Number: **334-242-0198**
E-Mail Address: **Terrie.Reid@dhr.alabama.gov**
　　　Web Address for Lead Agency (if any): **www.dhr.alabama.gov**
Phone Number for CCDF program information (for the public) (if any):
334.242.1425 or 866-528-1694
Web Address for CCDF program (for the public) (if any): _____
Web address for CCDF program policy manual: (if any): none
Web address for CCDF program administrative rules: (if any): _____

b) Contact Information for CCDF Co-Administrator (if applicable):
Not applicable
Name of CCDF Co-Administrator: _____
Title of CCDF Co-Administrator: _____
Address of CCDF Co-Administrator: _____
Phone Number: _____
Fax Number: _____
E-Mail Address: _____
Web Address for Co-Administrator (if any): _____
Description of the role of the Co-Administrator: _____

1.2 Estimated Funding

1.2.1. What is your expected level of funding for the first year of the FY 2012 – FY 2013 plan period? The Lead Agency estimates that the following amounts will be available for child care services and related activities during the 1-year period from October 1, 2011 through September 30, 2012. (§98.13(a)).

FY 2012 CCDF allocation: $84,260,087
Federal TANF Transfer to CCDF: $4,000,000
Direct Federal TANF Spending on Child Care: $0
State CCDF Maintenance-of-Effort Funds: $6,896,417
State Matching Funds: $11,415,298
Quality Funds: $ 4,000,000

Reminder – Lead Agencies are reminded that not more than 5 percent of the aggregate CCDF funds, including federal funds and required State Matching funds, shall be expended on administration costs (§98.52) once all FY2012 funds have been liquidated. State Maintenance-of-Effort funds are not subject to this limitation.

1.2.2. Which of the following funds does the Lead Agency intend to use to meet the CCDF Matching and maintenance-of-effort (MOE) requirements described in 98.53(e) and 98.53(h)? Check all that apply.

Note: The Lead Agency must check at least public and/or private funds as matching, even if pre-kindergarten (pre-k) funds also will be used.

☒ Public funds to meet the CCDF Matching Fund requirement. Public funds may include any general revenue funds, county or other local public funds, State/Territory-specific funds (tobacco tax, lottery), or any other public funds.

> If checked, identify source of funds:
> **In collaboration with local government entities and with the assistance of child advocacy agencies, the Lead Agency has identified local efforts that are consistent with CCDF child care requirements. These activities include local funding to child care centers for child care slots and teacher training. Funding sources includes county funds and local public funds.**

☐ Private donated funds to meet the CCDF Matching Funds requirement. Only private funds received by the designated entities or by the Lead Agency may be counted for match purposes. (98.53(f))

> If checked, are those funds:
> > ☐ donated directly to the State?
> > ☐ donated to a separate entity(ies) designated to receive private donated funds?
> > > If checked, identify the number of entities designated to receive private donated funds and provide name, address, contact, and type _____

☒ State expenditures for pre-k programs to meet the CCDF Matching Funds requirement. If checked,

> Provide the estimated percentage of Matching Fund requirement that will be met with pre-k expenditures (not to exceed 30%): <u>30%</u>
> > If percentage is more than 10% of the Matching fund requirement, describe how the State will coordinate its pre-k and child care services:
> > **Alabama's Department of Children's Affairs Pre-K initiative has expanded to operate 212 sites within the state. The initiative has expanded through the years to serve more children. The initiative, which serves 4 year olds, uses a variety of strategies aimed at serving families and children, including collaborating with other entities to provide services in schools, family child care homes, parenting centers and private child care centers.**
> >
> > **Requirements for classroom staff in Pre-K sites includes collaboration with other local early care and education professionals, public school systems professionals, and obtaining professional development training. The Lead Agency makes**

**professional development training initiatives, including
scholarships, available to Pre-K staff. The Lead Agency provides
wrap-around care during the school year and full-day services
during school breaks and holidays for children in State Pre-K
sites, LEA Pre-K sites and Head Start Pre-K sites when these sites
do not offer full-day services.**

Describe the Lead Agency efforts to ensure that pre-k programs meet
the needs of working parents:

**Alabama's Department of Children's Affairs Pre-K initiative operates
212 sites the state. The initiative, which serves 4 year olds, uses a variety
of strategies aimed at serving families and children, including
collaborating with other entities to provide services in various provider
settings including Head Start, public schools, private child care centers,
faith-based centers, community based centers, and Colleges/Universities,
thus more effectively meeting the needs of working families within these
communities.**

**The mission of the Alabama Department of Children's Affairs (DCA) is
to provide state leadership to identify, analyze, streamline and coordinate
services for children throughout Alabama. The expansion of Pre-K
initiatives has increased the number of child care slots in communities
thereby, expanding the availability of child care for families.**

**The Alabama State Department of Education provides special education
services in pre-school programs for eligible three- and four-year old
children with special needs, in some of Alabama's school districts. These
services are housed in public school facilities, which increase the
availability for working parents, thus more effectively meeting the needs
of working families within these communities. Local Education Agencies
(LEA) receive direct funding to provide Pre-K services in schools
associated with the LEA.**

**The Lead Agency provides wrap-around care during the school year and
full-day services during school breaks and holidays for children in State
Pre-K sites, LEA Pre-K sites and Head Start Pre-K sites when these sites
do not offer full-day services. This allows for full-day services to meet the
needs of working families.**

☒ State expenditures for pre-k programs to meet the CCDF Maintenance of
Effort (MOE) requirements. If checked,

☒ The Lead Agency assures that its level of effort in full-day/full-year
child care services has not been reduced, pursuant to 98.53(h)(1).
Estimated percentage of MOE Fund requirement that will be met with
pre-k expenditures (not to exceed 20%): <u>20%</u>

If percentage is more than 10% of the MOE requirement, describe how the State will coordinate its pre-k and child care services to expand the availability of child care: _____

Describe the Lead Agency efforts to ensure that pre-k programs meet the needs of working parents:

Alabama's Department of Children's Affairs Pre-K initiative has operates 212 sites within the state, an increase over prior years. The initiative, which serves 4 year olds, uses a variety of strategies aimed at serving families and children, including collaborating with other entities to provide services in various provider settings including Head Start, public schools, private child care centers, faith-based centers, community based centers, and Colleges/Universities, thus more effectively meeting the needs of working families within these communities.

The mission of the Alabama Department of Children's Affairs (DCA) is to provide state leadership to identify, analyze, streamline and coordinate services for children throughout Alabama. The expansion of Pre-K initiatives has increased the number of child care slots in communities thereby, expanding the availability of child care for families. Requirements for classroom staff in Pre-K sites includes collaboration with other local early care and education professionals, public school systems professionals, and obtaining professional development training. The Lead Agency makes professional development training initiatives, including scholarships, available to Pre-K staff.

The Alabama State Department of Education provides special education services in pre-school programs for eligible three- and four-year old children with special needs, in some of Alabama's school districts. These services are housed in public school facilities, which increase the availability for working parents, thus more effectively meeting the needs of working families within these communities. Local Education Agencies (LEA) receive direct funding to provide Pre-K services in schools associated with the LEA.

The Lead Agency provides wrap-around care during the school year and full-day services during school breaks and holidays for children in State Pre-K sites, LEA Pre-K sites and Head Start Pre-K sites when these sites do not offer full-day services. This allows for full-day services to meet the needs of working families.

1.3. CCDF Program Integrity and Accountability

Program integrity is defined to include efforts that ensure effective internal controls over the administration of CCDF funds. The Lead Agency is responsible for monitoring programs and services, ensuring compliance with the rules of the program, promulgating rules and regulations to govern the overall administration of the plan and oversee the expenditure of funds by sub-grantees and contractors. (§ 98.11(b)) Accountability measures should address administrative error, which includes unintentional agency error, **as well as to address** program violations, both unintentional and intentional, that may or may not result in further action by the Lead Agency, including those cases suspected of and/or prosecuted for fraud.

1.3.1. Describe the strategies the Lead Agency will utilize to ensure effective internal controls are in place. The **description** of internal controls may include, but is not limited to a description of processes to ensure sound fiscal management, to identify areas of risk or to establish regular evaluation of control activities.

An Addendum A – Services to be Provided, incorporates by reference the Child Care Subsidy Program Policies and Procedures Manual into the contract. This Manual includes the name of the program and allowable and unallowable costs for the program. Moreover, the contract contains a provision that the contractor must comply with all federal, state, and local laws, rules, regulations, and procedures applicable to receiving funds from the Lead Agency as well as comply with the contract addenda and the Contract Compliance Requirements, which is incorporated into the contract by reference. The Contract Compliance Requirements is a manual prepared by the Office of Contracts and Grants in order to provide the requirements applicable to the provision of services under contract with the Lead Agency.

Agencies are required to conduct and submit to the Lead Agency independent audit reports. The audits are submitted to the Lead Agency's Program Integrity Division, Office of Audit for review. Sub-recipients are informed of their audit requirements through the provisions included in the contract which incorporate by reference the policies and procedures included in the Child Care Subsidy Program Policies and Procedures Manual.

The contracts executed with the sub-recipients contain a provision in the financial agreements section that reimbursements by the Lead Agency will only be made in response to signed, original, and correctly certified statements of the total actual eligible costs incurred or the total billable amount based on the actual total number of eligible units of service provided during the designated billing period. This information must be provided to the Lead Agency on a monthly basis following the end of each month services are provided.

The Child Care Subsidy Program is an agency of the Alabama Department of Human Resources, Child Care Services Division. The Subsidy Program relies on the fiscal services of the Department's Finance Division, data and system support from the Department's Information Systems Division and Program Integrity from the

Department's Office of Audit. In addition the entire Department and each individual Division is audit by the state's Examiners of Public Accounts.

1.3.2 Describe the processes the Lead Agency will use to monitor all sub-recipients. Lead Agencies that use other governmental or non-governmental sub-recipients to administer the program must have written agreements in place outlining roles and responsibilities for meeting CCDF requirements. (98.11 (a) (3))

Definition: A sub-recipient (including a sub-contractor and or sub-grantee) is a non-Federal entity that expends Federal awards (contract or grant) received from another entity to carry out a Federal program, but does not include a vendor nor does it include an individual who is a beneficiary of such a program. OMB Circular A-133 Section 210 provides additional information on the characteristics of a **sub-recipient** and **vendor** (http://www.whitehouse.gov/omb/circulars/a133_compliance_supplement_2010).

The description of monitoring may include, but is not limited to, a discussion of written agreements, fiscal management, review of policies and procedures to ensure compliance with CCDF regulations, monitoring/auditing contractors or grantees to ensure that eligible children are served and eligibility documentation is verified, and establishing performance indicators or measures.

The Child Care Management Agencies (CMAs) and Quality Enhancement Agencies (QEAs) are monitored by the Department to determine contract compliance as well as compliance with applicable federal and state laws and regulations and departmental policies and procedures. Agencies are selected through a competitive Request for Proposal (RFP) process. The current contracts were issued for a two-year time frame with an option for renewal or extension of the contract. Although contracts are for multiple years the agencies must submit a new budget for review and approval each year of the contract. If a contract is extended or renewed, the contracting agency must submit a new budget for review and approval.

State level staff provides training and technical assistance to contractors on all issues including budget and policy. A policy specialist provides clarifications as needed and conducts training on policy issues.   QEA agencies submit quarterly reports of activities that are compared with the services to be performed as outlined in the contract.

Program monitoring by Lead Agency staff is conducted on a random sample of records from each CMA agency to ensure proper application of program policies. During the monitoring visits, case records and provider records are randomly selected and reviewed for compliance with subsidy policy and procedures. Cases are reviewed for correct application of policy as well as correct knowledge of child care computer system data entry. Agencies are sent a formal report of the results of the monitoring review. The Report summarizes the number and percentage of authorization errors. Agencies are required to submit a Corrective Action Plan detailing how the agency will address the identified errors, implement procedures with caseworkers to reduce future errors,

and implement actions to recover improper payments. At the next review, progress on the corrective action plan is monitored by Lead Agency staff.

Agencies have been given an error rate target. Agencies that do not meet the error rate target have points deducted from their score on subsequent response to a Request for Proposal to administer Subsidy Program eligibility services.

1.3.3. Describe the activities the Lead Agency will have in place to identify program violations and administrative error to ensure program integrity using the chart below. Program violations may include intentional and unintentional client and/or provider violations as defined by the Lead Agency. Administrative error refers to **areas identified through the Error Rate Review** process (98.100). Check which activities, if any, the Lead Agency has chosen to conduct.

Type of Activity	Identify Program Violations	Identify Administrative Error
Share/match data from other programs (e.g. TANF, CACFP, FNS, Medicaid)	☐	☐
Run system reports that flag errors (include types)	☒	☒
Review of attendance or billing records	☒	☒
Audit provider records	☐	☐
Conduct quality control or quality assurance reviews	☐	☒
Conduct supervisory staff reviews	☐	☒
Conduct data mining to identify trends	☐	☐
Train staff on policy and/or audits	☒	☒
Other. Describe _____	☐	☐
None	☐	☐

(Optional) If the Lead Agency checked any option in the chart above other than none, please describe _____

1.3.4. What strategies will the Lead Agency use to investigate and collect improper payments due to program violations or administrative error? Check and describe in the chart below which strategies, if any, the Lead Agency will use for each of the following areas: Unintentional program violations (UPV), intentional program violations (IPV) and/or fraud, and administrative error as defined in your State/Territory. **The Lead Agency has the flexibility to recover misspent funds as a result of errors. The Lead Agency is required to recover misspent funds as a result of fraud (98.60(i)).**

Strategy	UPV	IPV and/or Fraud	Administrative Error
Require recovery after a minimum dollar amount in improper payment. Identify the minimum dollar amount	☒	☒	☒

The minimum dollar amount for recovery is $35. The minimum dollar amount to refer fraud cases for prosecution is $2500.			
Coordinate with and refer to other State/Territory agency (e.g. State/Territory collection agency, law enforcement). Describe: **The Lead Agency coordinates and refers cases to the Alabama Attorney General Office to investigate and prosecute fraud.**	☐	☒	☐
Recover through repayment plans	☒	☒	☒
Reduce payments in subsequent months	☒	☒	☒
Recover through State/Territory tax intercepts	☐	☐	☐
Recover through other means. Describe _____	☐	☐	☐
Establish a unit to investigate and collect improper payments. Describe composition of unit _____	☐	☐	☐
Other. Describe _____	☐	☐	☐
None	☐	☐	☐

(Optional) If the Lead Agency checked any option in the chart above other than none, please describe _____

1.3.5. What type of sanction, if any, will the Lead Agency place on clients and providers to help reduce improper payments due to program violations?

☐ None
☒ Disqualify client. If checked, please describe, including a description of the appeal process for clients who are disqualified _____
Clients are disqualified based from services when the pattern of noncompliance has been established. A pattern of noncompliance is three (3) instances of intentional failure to comply with program requirements. A mandatory disqualification period of three (3) months is assessed. For the first instance after a pattern of noncompliance has been established, a mandatory disqualification period of six (6) months is assessed; and, for the second and subsequent instances after a pattern of noncompliance has been established, a mandatory period of one (1) year is assessed.

Clients have the right to request an administrative review or an administrative hearing, in response to any action taken to deny, reduce or terminate services, within 60 days of the action, if the client feels such action was taken outside the context of Program policy.

☒ Disqualify provider. If checked, please describe, including a description of the appeal process for providers who are disqualified _____

Providers are disqualified for intentional failure to comply with the provider's published policies or the constraints agreed to by the provider on the current Provider Registration Form. This includes maintaining legal operating status and complying with Alabama's criminal background requirements for child care providers participating in the Child Care Subsidy Program.

A child care provider has the right to request a fair hearing in response to any action to deny or terminate Program participation.

☒ Prosecute criminally
☐ Other. Describe. ___

1.3.6. Based on responses provided from Question 14 in the most recent ACF-402 report, please describe those actions the Lead Agency has taken or plans to take to reduce identified errors in the table below. Territories not required to complete the Error Rate Review should mark ☐ N/A here.

Activities identified in ACF-402	Actions Taken or Planned
• **Training address statewide deficiency disclosed as a result of completing the statewide Authorizations for Payment Errors** • **Target technical assistance to the policy needs of the specific agency** • **Make performance results of the improper payment review part of the decision to contract or discontinue a contract with an agency.** • **Continue the Improper Authorization process in non-federal submission years.**	**All actions identified in the most recent ACF 402 have been taken.**

1.4. Consultation in the Development of the CCDF Plan

Lead Agencies are required to *consult* with appropriate agencies in the development of its CCDF Plan (§98.12, §98.14(a),(b), §98.16(d)).

Definition: *Consultation* involves the meeting with or otherwise obtaining input from an appropriate agency in the development of the State or Territory CCDF Plan. At a minimum, Lead Agencies must consult with representatives of general purpose local governments. (§§98.12(b), 98.14(a)(1))

1.4.1. Identify and describe in the table below who the Lead Agency consulted with in the development of the CCDF Plan (658D(b)(2), §§98.12(b), 98.14(b)).

	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
⊠	**Representatives of general purpose local government (required)** This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies.	**Input on the state plan was requested from local government agencies. A Letter was sent to the League of Municipalities and the Association of County Commissions of Alabama requesting input on the CCDF Plan from their membership.**
For the remaining agencies, check and describe (optional) any which the Lead Agency has chosen to consult with in the development of its CCDF Plan.		
⊠	State/Territory agency responsible for public education This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education.	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the committee is to inform and make recommendation to the Lead Agency on Child Care issues. The CCDF State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. This Committee membership includes representative from public education. Committee membership representation is included as Attachment 1.4.1**
⊠	State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the committee is to inform and make recommendation to the Lead Agency on Child Care issues. The CCDF State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. The Committee membership includes representation from Early Intervention and the State Department of Education IDEA (part C and 619 Coordinator). Committee membership representation is included as Attachment 1.4.1**
☐	State/Territory agency responsible for licensing (if separate from the Lead Agency)	
⊠	State/Territory agency with the Head Start Collaboration grant	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the committee is to inform and make recommendation to the Lead Agency on Child Care issues. The CCDF State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. The Committee membership includes representative**

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	from the State Head Start Collaboration Director and the Head Start Association. The Head Start Collaboration Office and the Alabama Head Start Association are actively participating in the development and implementation of the Alabama Early Learning Guidelines, the Alabama Professional Development System (*Pathways*) and the Alabama Quality Rating and Improvement System (*Pathways to Higher Quality*) Committee membership representation is included as Attachment 1.4.1
☐ Statewide Advisory Council authorized by the Head Start Act	.
☐ Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early childhood and school-age/youth-serving developmental services	
☐ State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	
☐ State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant	
☒ State/Territory agency responsible for public health (including the agency responsible for immunizations and programs that promote children's emotional and mental health)	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the committee is to inform and make recommendation to the Lead Agency on Child Care issues. The CCDF State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. The Committee membership includes representative from the Department of Public Health. Committee membership representation is included as Attachment1.4.1. The Department of Public Health is the lead agency for the Early Childhood Comprehensive Systems (ECCS). The lead agency also has an agreement with Public Health to administer the Healthy Child Care Alabama program.**
☐ State/Territory agency responsible for child welfare	
☒ State/Territory liaison for military child care programs or other military child care representatives	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the committee is to inform and make recommendation to the Lead Agency**

	Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
		on Child Care issues. State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. The CCDF State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. Committee membership includes representative from the military child care. Committee membership representation is included as Attachment. 1.4.1.
☐	State/Territory agency responsible for employment services/workforce development	
☒	State/Territory agency responsible for Temporary Assistance for Need Families (TANF)	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the committee is to inform and make recommendation to the Lead Agency on Child Care issues. State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. The CCDF Lead Agency is also the agency for the TANF program. Committee membership representation is included as Attachment 1.4.1**
☒	Indian Tribes/Tribal Organizations ☐ N/A: No such entities exist within the boundaries of the State	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the committee is to inform and make recommendation to the Lead Agency on Child Care issues. State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. The Poarch Creek Indians is the federally recognized .Tribal Organization in the state. The Lead Agency also coordinates with the Tribal organization and share data from the Market Rate Survey. Committee membership representation is included as Attachment 1.4.1.**
☐	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21	
☒	Provider groups, associations or labor organizations	**The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the**

Agency/Entity	Describe how the Lead Agency consulted with this Agency/entity in developing the CCDF Plan
	Committee is to inform and make recommendation to the Lead Agency on Child Care issues. State Plan draft was presented to the Child Care Citizens Coordinating Committee for input on the provision of services. Provider associations (center and family/group associations), faith-based provider association, and provider advocacy groups are represented on the Committee. Committee membership representation is included as Attachment 1.4.1.
☐ Parent groups or organizations	
☐ Local community organizations (child care resource and referral, Red Cross)	
☐ Other	

1.4.2. Describe the Statewide/Territory-wide public hearing process held to provide the public an opportunity to comment on the provision of child care services under this Plan. (658D(b)(1)(C), §98.14(c)) At a minimum, the description should include:

a) Date(s) of notice of public hearing: **April 27, 2011**
Reminder - Must be at least 20 days prior to the date of the public hearing.

b) How was the public notified about the public hearing?
Notice of the hearing was advertised in Alabama's eight largest newspapers. The notice advised of the date and location of the public hearing. To reinforce the notification process, notice of the public hearing was sent to the Lead Agency's 67 county offices, Child Care Management Agencies, and Quality Enhancement Agencies to facilitate broad access by the public. These agencies gave notice of the hearing through communication with parents and providers.

c) Date(s) of public hearing(s): **May 19, 2011**
Reminder - Must be no earlier than 9 months before effective date of Plan (October 1, 2011).

d) Hearing site(s):
Gordon Persons Building Auditorium, 50 N Ripley Street, Montgomery, Alabama

e) How was the content of the Plan made available to the public in advance of the public hearing(s)?

A draft copy of the Plan could be reviewed at any local County Department of Human Resources, Child Care Management Agency and Quality Enhancement Agency. The draft of the plan was also made available on the Lead Agency's website.

f) How will the information provided by the public be taken into consideration in the provision of child care services under this Plan? **Public comment will be considered in understanding potential gaps in services and exploring ways that the comments may be implemented in the future.**

1.4.3. Describe any strategies used by the Lead Agency to increase public consultation on the Plan or access to the public hearing. For example, translating the public hearing notice into multiple languages, using a variety of sites or technology (e.g., video) for the public hearing, holding the hearing at times to accommodate parent and provider work schedules.
Notice of the plan was given to provider associations across the state. Individual letters were written to each association president to encourage participation by the membership. The hearing notice included an email address (childcare.subsidy@dhr.alabama.gov) to accommodate comments from providers and parent that could not attend the public hearing. The public hearing notice was included on the Lead Agency website and a copy of the draft Plan was on the Lead Agency website, available at CMA offices and available at County Department offices.

1.5. Coordination Activities to Support the Implementation of CCDF Services

Lead Agencies are required to *coordinate* with other Federal, State, local, Tribal (if applicable) and private agencies providing child care and early childhood development services (§98.12, §98.14(a),(b), §98.16(d)).

Definition - *Coordination* involves child care and early childhood and school-age development services efforts to work across multiple entities, both public and private (such as in connection with a State Early Childhood Comprehensive System (SECCS) grant or the State Advisory Council funded under the Head Start Act of 2007). (658D(b)(1)(D), §§98.12(a), 98.14(a)(1))

1.5.1. Identify and describe in the table below who the Lead Agency coordinates with in the delivery of child care and early childhood and school-age services (§98.14(a)(1)).

| Agency/Entity (check all that apply) | Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services | Describe the goals or results you are expecting from the coordination

Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies. |
|---|---|---|
| ☒ Representatives of general purpose local government **(required)**

This may include, but is not limited to: representatives from counties and municipalities, local human service agencies, local education representatives (e.g., school districts), or local public health agencies. | **The Lead Agency has coordinated with local government agencies to identify local spending on child care that could be used as state match. Staff of the CMA organizations and Quality Enhancement Agencies, as well as Department staff, participate in local community policy councils and have provided resources as needed.** | **Increase knowledge and awareness by local communities of child care issues, particular for children birth to five) and the economic impact of child care on communities. Increased availability of potential match funding for the CCDF program** |
| ☒ State/Territory agency responsible for public education (**required**)

This may include, but is not limited to, State/Territory pre-kindergarten programs (if applicable), programs serving school-age children (including 21st Century Community Learning Centers), or higher education. | **The Lead Agency coordinates with the Alabama Department of Education to provide quality extended-day services for school age children through grants awarded to Local Education Agencies. Funds target rural areas and low-performing school sites. The coordination also includes serving on the Advisory Panel for the 21st Century Community Learning Centers. The panel reviews applications and sets criteria for agencies applying for funding. The goal of this program and agency coordination is to integrate strategies that enhance the quality of care in extended-day child care setting. The Lead Agency also coordinates with Alabama College System to provide Associate degree scholarships for child care providers to attend one of Alabama's two-year colleges through the T.E.A.C.H. scholarship and Leadership in Child Care Scholarship (LICC).** | -**Increased availability of quality after school programs.** -**increase the supply of full-year program by providing wrap-around care to head start and Pre-k program.** -**Increased local or statewide articulation agreements between 2-year and 4-year institutions.** |
| ☒ Other Federal, State, local, Tribal (if applicable), and/or private agencies providing early | **The Lead Agency implemented the Child Care Citizens Coordinating Committee in 2009. The mission of the** | -**Agencies delivering childcare services will have a venue for** |

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
childhood and school-age/youth-serving developmental services (**required**)	committee is to inform and make recommendation to the Lead Agency on Child Care issues. The committee consists of various agencies private, state, local, Tribal representing all aspects of child care, and school age/youth development services (See attachment 1.4.1).	shared knowledge of available services that impact the lives of children. -sharing of resources, training and technical assistance
☒ State/Territory agency responsible for public health (**required**) This may include, but is not limited to, the agency responsible for immunizations and programs that promote children's emotional and mental health	The Department of Public Health is the lead agency for the Early Childhood Comprehensive Systems (ECCS). The lead agency also has an agreement with Public Health to administer the Healthy Child Care Alabama program. The agency actively participates in the Lead Agency's development and implementation of Alabama Early Learning Guidelines and Professional Development System (*Pathways*) and planning for the Alabama Quality Rating and Improvement System (*Pathways to Higher Quality*).	-Decrease the incidence of injury, illness and death that occur in the child care environment; - Improve the integration of health concepts in child care settings through direct consultation with child care providers; - Identify and make referral of infants and toddlers, birth to three years, who are potentially eligible for Alabama's Early Intervention System.
☒ State/Territory agency responsible for employment services / workforce development (**required**)		
☒ State/Territory agency responsible for providing Temporary Assistance for Need Families (TANF) (**required**)	CCDF program coordinates with the JOBS program to streamline and provide seamless delivery of services. Coordination with the TANF agency is allowing the Lead Agency to establish more consistent eligibility rules for the CCDF and TANF funded child care services and ensure that former TANF recipients can access child care and thereby avoid returning to TANF	-More on the job training/job readiness opportunities for TANF recipient - More effective, efficient and seamless delivery of services to parents.

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
	assistance. Coordination efforts include disseminating information about Tax Credits for employers who hire former TANF clients and opportunities for agencies, such as our partnering child care management agencies (CMA) and quality enhancement agencies (QEA), to provide community employment and on-the-job training opportunities to JOBS participants.	
☒ Indian Tribes/Tribal Organizations **(required)** ☐ N/A: No such entities exist within the boundaries of the State	**The Tribal Organization in Alabama is the Poarch Band of Creek Indians. Representatives for the Poarch Creek Indians are actively participating Lead Agency's development and implementation of Alabama Early Learning Guidelines and Professional Development System (*Pathways*) and planning of the Alabama Quality Rating and Improvement System (*Pathways to Higher Quality*). The Lead Agency coordinated with the Poarch Band of Creek Indians in developing criteria in the Market Rate Survey that meets the needs of each agency**	**- Training activities targeted to providers serving the tribal community**
For the remaining agencies, check and describe (optional) any with which the Lead Agency has chosen to coordinate early childhood and school-age service delivery		
☐ State/Territory agency responsible for licensing (if separate from the Lead Agency)		
☒ State/Territory agency with the Head Start Collaboration grant	**The Lead Agency's relationship with the Head Start Collaboration office allows for continuity of services for Head Start children.**	**-Continuity of services for Head Start children through wrap around care. -Shared resources for training and technical assistance.**
☒ Statewide Advisory Council	**The Lead Agency is a member of the**	**-Coordination and**

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
authorized by the Head Start Act	**Alabama ECAC (Early Childhood Advisory Council). The State Administrator chairs the subcommittee on Program and Professional Development. The Lead Agency has a representative on the ECAC Data subcommittee.**	**alignment of existing child care professional development opportunities.** **-development of coordinated data systems to streamline processes and inform policy**
☒ State/Territory agency responsible for the Child and Adult Care Food Program (CACFP)	**The Child and Adult Care Food Program is housed in the Alabama Department of Education. The Lead Agency coordinates with CACFP to communicate licensing approvals and violations and coordinate for training of child care providers.**	**-Encourage participation in CACFP program by child care providers.** **-Share training resources** **-Access to training and TA for providers on CACFP requirements.**
☒ State/Territory agency responsible for programs for children with special needs This may include, but is not limited to: State/Territory early intervention programs authorized under the Individuals with Disabilities Education Act (Part C for infants and toddlers and Section 619 for preschool), or other State/Territory agencies that support children with special needs	**In partnership with United Cerebral Palsy (UCP) of Huntsville and Tennessee Valley and five (5) other UCP teams, training, technical assistance and consultation are provided to support providers in increasing the quality of care for children with special needs and to support parents in their role as the first and primary teachers of their children.**	**-Enhanced knowledge and skills of providers in recognizing children at possible risk of developmental delays;** **-Provide support for inclusive child care by purchasing adaptive equipment to effectively serve children with special needs in their programs.**
☐ State/Territory agency responsible for implementing the Maternal and Early Childhood Home Visitation programs grant		
☒ State/Territory agency responsible for child welfare	**The Lead Agency is also the State agency for Child Welfare services. Program coordinated allows for**	**-Access to childcare without the need for face-to-face interviews**

Agency/Entity (check all that apply)		Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		Protective Service and Foster Care families to receive priority for services. Child Welfare staff are also presenters in child abuse and neglect training for child care providers.	**and additional visits to County Departments. -Increase provider awareness of abuse and neglect prevention strategies**
☐	State/Territory liaison for military child care programs or other military child care representatives		
☐	Private agencies/entities including national initiatives that the Lead Agency is participating in such as BUILD, Strengthening Families, Mott Statewide After-school Networks, Ready by 21		
☒	Local community organizations (child care resource and referral, Red Cross)	**The Lead Agency contracts with non-profit community based agencies to administer Subsidy Program eligibility services and quality enhancement services. The Lead Agency's relationship with these local agencies has allowed for expansion of resources in the child care arena; allow for blending local, private and public funding supporting child care initiatives. An ongoing relationship with the Child Care Resource Center, Employer's Child Care Alliance promotes corporate partnerships in that support quality initiatives in child care.**	-
☐	Provider groups, associations or labor organizations	Provider groups, associations are active members of Lead Agency QRIS Steering Committee, Alabama Professional Development Team, and the Child Care Citizen's Coordinating Committee.	**-Provider knowledge of Lead Agency policy related to child care issue -Ongoing input from the provider community into the**

Agency/Entity (check all that apply)	Describe how the Lead Agency will coordinate with this Agency/entity in delivering child care and early childhood services	Describe the goals or results you are expecting from the coordination Examples might include increased supply of full-day/full-year services, aligned eligibility policies, blended funding, or access to more training and technical assistance resources shared across agencies.
		provision of CCDF funded services.
☐ Parent groups or organizations		
☐ Other		

1.5.2. Does the State/Territory have a formal early childhood and/or school-age coordination plan?
Lead Agencies are not required to have an early childhood nor a school-age coordination plan, but the State/Territory may have such plans for other purposes, including fulfilling requirements of other programs.

☐ Yes. If yes,
  a) Provide the name of the entity responsible for the coordination plan(s):
  b) Describe the age groups addressed by the plan(s):
  c) Indicate whether this entity also operates as the State Advisory Council (as authorized under the Head Start Act of 2007):
      ☐ Yes
      ☐ No
  d) Provide a web address for the plan(s), if available: _____
☒ No

1.5.3. Does the State/Territory have a designated entity(ies) responsible for coordination across early childhood and school-age programs?
(658D(b)(1)(D), §98.14(a)(1)) Check which entity(ies), if any, the State/Territory has chosen to designate.

☒ State/Territory-wide early childhood and/or school-age cabinet/advisory council/task force/commission.
  If yes, describe entity, age groups and the role of the Lead Agency
  The Department of Children's Affairs (DCA) has been designated as the coordinator of children's programs throughout the state (birth to age 19). Within this agency are the Head Start Collaboration Office, the Office of School Readiness, which oversees State funded Pre-K sites, and the Children's Policy Council. The expected results of these coordination efforts is to bring existing early childhood services into an effective

system that optimizes a child's healthy development and school readiness and guide the process of coordinating existing education and professional development systems for child care providers. DCA is also the lead agency for the Alabama for the State Advisory Council under the Head Start Act of 2007.

☒ State Advisory Council (as described under the Head Start Act of 2007).
    If yes, describe entity, age groups and the role of the Lead Agency
    The Department of Children's Affairs has been designated as the lead agency for the Alabama for the State Advisory Council under the Head Start Act of 2007. The work of the Alabama Early Childhood Advisory Council targets children birth through age 5. The Council makes recommendations to the Governor and Legislature on how to effectively create a high-quality childhood system in order to improve the outcomes of Alabama's children and families. The Lead Agency is represented on the ECAC by the Lead Agency Commissioner and the Lead Agency Director of Child Care Service who is also the CCDF state administrator. The CCDF State Administrator chairs the subcommittee for Program and Professional Development. The Lead Agency Program Manager for the Child Care Subsidy Program serves on the ECAC Longitudinal Data Subcommittee.

☐ Local Coordination/Council
    If yes, describe entity, age groups and the role of the Lead Agency
    _____

☐ Other.
    Describe _____
☐None

1.5.4. Does the Lead Agency conduct or plan to conduct activities to encourage public-private partnerships that promote private sector involvement in meeting child care needs? (§98.16(d))

☒   Yes. If yes, **describe** these activities or planned activities, including the tangible results expected from the public-private partnership
    The Lead Agency collaborates with the Alabama Partnership for Children (APC), a private non-private agency, to fund the TEACH Early Childhood Program. This program, along with the Lead Agency's relationship with community colleges, has allowed for increased training and educational opportunities for providers. The Lead Agency's actively participates in the advisory committee for the Early Childhood Comprehensive Systems initiative. The advisory committees' work led to creation of the *Blueprint for Zero to Five*. The *Blueprint* is a structure for planning for planning, funding, advocacy, accountability and policy decisions aimed at creating public and private partnerships around early care and education. The model of the statewide Blueprint is being replicated at local levels. Local communities use the *Blueprint* to build local partnerships around early care and education and identify community child development resources.

> **An ongoing relationship with the Child Care Resource Center, Employer's Child Care Alliance promotes an increase in the number of corporate partners that support quality initiatives in child care.**

☐ No.

1.6. Child Care Emergency Preparedness and Response Plan

It is recommended, but not required, that each Lead Agency develop a plan to address preparedness, response, and recovery efforts specific to child care services and programs. Plans should cover the following areas: 1) planning for continuation of services to CCDF families; 2) coordination with other State/Territory agencies and key partners; 3) emergency preparedness regulatory requirements for child care providers; 4) provision of temporary child care services after a disaster; and 5) rebuilding child care after a disaster. For further guidance on developing Child Care Emergency Preparedness and Response Plans see the Information Memorandum (CCDF-ACF-IM-2011-XX) located on the Office of Child Care website at: http://www.acf.hhs.gov/programs/ccb/law/state_topic_emergency.htm

1.6.1. Indicate which of the following best describes the current status of your efforts in this area. Check only ONE.

☐ **Planning**. Indicate whether steps are under way to develop a plan. If so, describe the time frames for completion and/or implementation, the steps anticipated and how the plan will be coordinated with other emergency planning efforts within the State/Territory.

☐ **Developed.** A plan has been developed as of [**insert date**] and put into operation as of [**insert date**], if available. Provide a web address for this plan, if available: _____

☒ **Other. Describe:**
The Lead Agency has prepared an Emergency Welfare Services Disaster Response Plan. The plan is for all Department services and is included as Attachment 1.6.1. Licensing minimum standards require that all licensed facilities have a plan for the evacuation and care of children in the case if fire, tornado, serious accident or injury, or power failure. The plan must be posted in a conspicuous place in the facility.

1.6.2. Indicate which of the core elements identified in the Information Memorandum are or will be covered in the Lead Agency child care emergency preparedness and response plan. Check which elements, if any, the Lead Agency includes in the plan.

☐ Planning for continuation of services to CCDF families
☒ Coordination with other State/Territory agencies and key partners
☒ Emergency preparedness regulatory requirements for child care providers
☐ Provision of temporary child care services after a disaster
☐ Rebuilding child care facilities and infrastructure after a disaster
☐ None

PART 2
CCDF SUBSIDY PROGRAM ADMINISTRATION

This section focuses on the child care assistance program. Lead Agencies are asked to describe their efforts to inform parents about the CCDF subsidy program and application policies and procedures, eligibility criteria, how Lead Agencies ensure continuity of care and parental choice of high quality settings for families, and sliding fee scale and payment rate policies and procedures.

2.1. Administration of the Program

The Lead Agency has broad authority to administer (i.e., establish rules) and operate (i.e., implement activities) the CCDF program through other governmental, non-governmental, or other public or private local agencies as long as it retains overall responsibility for the administration of the program. (658D(b), §98.11(a))

2.1.1. Which of the following CCDF program rules and policies are set or established at the State/Territory versus the local level? Identify the level at which the following CCDF program rules and policies are established.

☒ Eligibility rules and policies (e.g., income limits) are set by the:
    ☒ State/Territory
    ☐ Local entity. If checked, provide the name(s) of the local entity
    _____
    ☐ Other. Describe: _____
☒ Sliding fee scale is set by the:
    ☒ State/Territory
    ☐ Local entity. If checked, provide the name(s) of the local entity
    _____
    ☐ Other. Describe: _____
☒ Payment rates are set by the:
    ☒ State/Territory
    ☐ Local entity. If checked, provide the name(s) of the local entity
    _____
    ☐ Other. Describe: _____

2.1.2. How is the CCDF program operated in your State/Territory? In the table below, identify which agency(ies) performs these CCDF services and activities.

Implementation of CCDF Services/Activities	Agency (Check all that apply)
Who determines eligibility? **Note:** If different for families receiving TANF benefits and families not receiving TANF benefits, please describe: _____	☐ CCDF Lead Agency ☐ TANF agency ☒ Other State/Territory agency. Describe. <u>University</u> ☐ Local government agencies such as county welfare or social services departments

Implementation of CCDF Services/Activities	Agency (Check all that apply)
	☐ Child care resource and referral agencies ☒ Community-based organizations ☐ Other. Describe. _____
Who assists parents in locating child care (consumer education)?	☐ CCDF Lead Agency ☐ TANF agency ☒ Other State/Territory agency. Describe. <u>University</u> ☐ Local government agencies such as county welfare or social services departments ☐ Child care resource and referral agencies ☒ Community-based organizations ☐ Other. Describe. _____
Who issues payments?	☒ CCDF Lead Agency ☐ TANF agency ☐ Other State/Territory agency. Describe. _____ ☐ Local government agencies such as county welfare or social services departments ☐ Child care resource and referral agencies ☐ Community-based organizations ☐ Other. Describe. _____
Other. List and describe: _____	

2.2. Family Outreach and Application Process

Lead Agencies must inform parents of eligible children and the general public of the process by which they can apply for and potentially receive child care services. (658D(b)(1)(A), 658E(c)(2)(D) & (3)(B), §§98.16(k), 98.30(a)-(e). **Note -** For any information in questions 2.2.1 through 2.2.10 that differs or will differ for families receiving TANF, please describe in 2.2.11.

2.2.1. By whom and how are parents informed of the availability of child care assistance services under CCDF? (658E(c)(2)(A), §98.30(a)) Check all agencies and strategies that will be used in your State/Territory.

☒ CCDF Lead Agency
☒ TANF offices
☐ Other government offices
☐ Child care resource and referral agencies
☐ Contractors
☒ Community-based organizations
☐ Public schools
☒ Internet (provide website): www.dhr.alabama.gov
☒ Promotional materials
☒ Community outreach meetings, workshops or other in-person meetings
☐ Radio and/or television

☐ Print media
☐ Other. Describe: ___

2.2.2. How can parents apply for CCDF services? Check all application methods that your State/Territory has chosen to implement.

☒ In person interview or orientation
☐ By mail
☐ By Phone/Fax
☐ Through the Internet (provide website) ___
☐ By Email
☒ Other. Describe: **For families participating in the Lead Agency programs (JOBS, Protective Service and Foster Care) a referral is received from the County Department case manager. Waiting list applications are received by mail, phone or fax.**

2.2.3. Describe how the Lead Agency provides consumer education to parents applying for CCDF assistance to promote informed choices about the quality of care provided by various providers.

Lead Agencies must certify that the State/Territory will collect and disseminate to parents of eligible children and the general public, consumer education information that will promote informed child care choices (658E (c)(2)(G), §98.33).

For example, memorandums of understanding with resource and referral agencies to provide consumer education to families applying for CCDF assistance, providing parents with provider lists showing licensing history and/or Quality Rating and Improvement System (QRIS) ratings, or informational brochures that address importance of quality and different care options available. _____
The Lead Agency provides consumer education using a variety of methods.
The Lead Agency has developed a brochure, *Choosing Child Care in Alabama,* designed to assist parents in selecting child care arrangements that best suit the family situation and the child's needs.
Child Care management Agency are required, through contract and policy, to provide consumer education information to parents who apply for subsidized care in an effort to promote informed choices with regard to available child care services.
The Quality Enhancement Agency that provide comprehensive services are required to provide, as part of contract, consumer education information and make the information available to the public.
The Alabama Early Learning Guidelines (AELG) contains a Resource Guide with telephone numbers and websites for contacting various local and national agencies and organizations regarding child care issues. AELG are made available to parents.
The Lead Agency maintains a listing of licensed child care centers on the Lead Agency webpage.

2.2.4. Describe how the Lead Agency will support child care programs to increase the likelihood that CCDF-served children receive higher quality care as defined in your State/Territory. For example, methods used to

promote upward movement in quality rating and improvement system, methods used to encourage high quality programs to participate in the subsidy program such as tiered reimbursement, or incentives used to support high quality programs in rural, suburban, urban, and low-income communities.
The Lead Agency QRIS Steering Committee is designing Quality Rating and Improvement System (Pathways to Higher Quality). The QRIS will recognize and provide incentives to providers that reach higher levels of quality. The Lead Agency has developed the standards for QRIS and is working on an implementation plan, beginning with child care center providers. The Lead Agency is also implementing an electronic Time and Attendance System (TAS) for child care reimbursements. The TAS will streamline attendance reporting process for child care providers. The TAS will also give child care providers access to information on child authorizations, allow for weekly reimbursement and internet access to administrative reports. Both these initiatives are to encourage higher quality provider participation in the Subsidy Program.

2.2.5. How will the Lead Agency promote access to the CCDF subsidy program? Check the strategies that will be implemented by your State/Territory.

☒ Increase access to program office/workers such as by:
    ☐ Extending office hours
    ☒ Accepting applications at multiple office locations
    ☒ Providing a toll-free number for clients
    ☐ Other. Describe: ___
☒ Simplify eligibility determination process such as by:
    ☒ Simplifying the application form
    ☐ Developing a single application for multiple programs
    ☐ Developing web-based and/or phone-based application procedures
    ☒ Coordinating eligibility policies across programs. List the program names
    There are coordinated eliglbity policies between the CCDF Child Care Subsidy Program and JOBS Program.
    ☐ Streamlining verification procedures, such as linking to other program data systems
    ☒ Providing information multi-lingually
    ☒ Including temporary periods of unemployment in eligibility criteria for new applicants (job search, seasonal unemployment). Length of time
    Parent's can maintain eligibility for up to 90 days during temporary periods of ineligibility due to the extended illness of the parent or child; school breaks; temporary absence of the child from the home; seasonal employment; and layoffs.
    ☒ Other. Describe: ___
    Families participating in the JOBS program, Protective Service families and Foster Care families are not required to attend a face-to-face interview to apply for services.
☐ Other. Describe: ___
☐ None

2.2.6. Describe the Lead Agencies policies to promote continuity of care for children and stability for families. Check the strategies, if any, that your State/Territory has chosen to implement.

☐ Provide CCDF assistance during periods of job search. Length of time _____

☒ Establish two-tiered income eligibility with a higher exit point than entry point to cover temporary changes in family's circumstances

☐ Synchronize review date across programs

☐ Longer eligibility re-determination periods (e.g., 1 year). Describe ___

☐ Extend periods of eligibility for families who are also enrolled in either Early Head Start or Head Start and pre-k programs. Describe ___

☐ Minimize reporting requirements for changes in eligibility criteria, such as changes in income above a certain threshold or change in employment

☐ Targeted case management to help families find and keep stable child care arrangements

☐ Using non-CCDF Funds to continue subsidy for families who no longer meet eligibility, such as for children who turn 13 years of age during the middle of a program year

☐ Other. Describe _____

☐ None

2.2.7. How will the Lead Agency reach out and provide services to eligible families with limited English proficiency? Check the strategies, if any, that your State/Territory has chosen to implement.

☒ Application in other languages

☒ Informational materials in non-English languages

☐ Training and technical assistance in non-English languages

☐ Website in non-English languages

☐ Lead Agency accepts applications at local community-based locations

☒ Bilingual caseworkers or translators available

☐ Other: _____

☐ None

2.2.8. How will the Lead Agency overcome language barriers with providers? Check the strategies, if any, that your State/Territory has chosen to implement.

☒ Informational materials in non-English languages

☒ Training and technical assistance in non-English languages

☐ CCDF health and safety requirements in non-English languages

☐ Provider contracts or agreements in non-English languages

☐ Website in non-English languages

☒ Bilingual caseworkers or translators available

☐ Other: ___

☐ None

2.2.9. Describe how the Lead Agency documents and verifies applicant information using the table below. (§98.20(a)) Check the strategies that will be implemented by your State/Territory. **Attach** a copy of your parent application for the child care subsidy program(s) as **Attachment 2.2.9** or provide a web address, if available
        www.dhr.alabama.gov

The Lead Agency requires documentation of:	Describe how the Lead Agency documents and verifies applicant information:
☒ Applicant identity	**Driver license, work or school ID, social security card, other government issue IDs.**
☐ Household composition	
☒ Applicant's relationship to the child	**Birth certificate; paternity affidavit; court documents; school records, other federal/state agency records**
☒ Child's information	**Birth certificate; paternity affidavit; court documents; school records, other federal/state agency records**
☒ Work, Job Training or Educational Program	**Documentation from the employer, educational institution or job training agency, other federal/state agency records**
☒ Income	**Check stubs, written statement from employer, other federal/state agency records**
☒ Other. Describe **Age of child**	**Birth certificate, school records, paternity affidavit, court documents, other federal/state agency records**
Residence	**Lease, Rent receipt, Utility Bills, other federal/state agency records**

2.2.10. Which strategies, if any, will the Lead Agency use to assure the timeliness of eligibility determinations upon receipt of applications?

☒ Policy on length of time for making eligibility determinations. Describe length of time **Within 10 days of receipt of verifying information.**
☒ Track and monitor the eligibility determination process
☐ Other. Describe ___
☐ None

2.2.11. Are the policies, strategies or processes provided in questions 2.1.1. through 2.1.10 different for families receiving TANF? (658E(c)(2)(H) & (3)(D), §§98.16(g)(4), 98.33(b), 98.50(e))

☐   Yes. If yes, describe: ___
☒   No.

2.2.12. Informing parents who receive TANF benefits about the exception to the individual penalties associated with the TANF work requirement

The regulations at §98.33(b) require the Lead Agency to inform parents who receive TANF benefits about the exception to the individual penalties associated with the work requirement for any single custodial parent who has a demonstrated inability to obtain needed child care for a child under 6 years of age. Lead Agencies must coordinate with TANF programs to ensure, pursuant that TANF families with young

children will be informed of their right not to be sanctioned if they meet the criteria set forth by the State TANF agency in accordance with section 407(e)(2) of the Social Security Act.

In fulfilling this requirement, the following criteria or definitions are applied by the TANF agency to determine whether the parent has a demonstrated inability to obtain needed child care. **NOTE**: The TANF agency, not the CCDF Lead Agency, is responsible for establishing the following criteria or definitions. These criteria or definitions are offered in this Plan as a matter of public record.

   a) Identify the TANF agency that established these criteria or definitions:
         State/Territory TANF Agency
         Alabama Department of Human Resources

   b) Provide the following definitions established by the TANF agency.
      • "appropriate child care":
      TANF policy considers child care services to be appropriate if they are rendered by a child care provider legally authorized under applicable federal and state laws, regulations and requirements to provide such services and who has been selected to provide such services in accordance with parental choice safeguards.

      • "reasonable distance":
      TANF policy considers "reasonable distance" to be a distance that requires travel of no more than 2 hours per day.

      • "unsuitability of informal child care":
      TANF policy considers informal child care to be suitable only to the extent such care is provided within the constraints of applicable federal and state laws, regulations and requirements.

      • "affordable child care arrangements":
      TANF policy does not require recipients to engage in work activities unless child care is accessible and is provided at no charge to the client or the Department subsidizes the cost of the care. The policy does not subject such recipients to a sanction or other penalty unless these criteria are met.

   c) How are parents who receive TANF benefits informed about the exception to individual penalties associated with the TANF work requirements?

            ☐ In writing
            ☒ Verbally
            ☐ Other: ___

2.3. Eligibility Criteria for Child Care

In order to be eligible for services, children must (1) be under the age of 13, or under the age of 19 if the child is physically or mentally disabled or under court supervision; (2) reside with a family whose income is less that 85 percent of the State's median income for a family of the same size; and (3) reside with a parent or parents who is working or attending job training or an educational program; or (4) be receiving or needs to receive protective services. (658P(3), §98.20(a))

2.3.1. How does the Lead Agency define the following eligibility terms?

- *residing with* - **Eligible children must live in the home with a parent, as defined at 45 CFR Part 98, Section 98.2**
- *in loco parentis* – **Means exclusively adult relatives without legal custody or guardianship of the child; Foster parents of a child in the legal custody of the Department; and adults with whom the Department places a child for Protective Service reasons.**

2.3.2. Eligibility Criteria Based Upon Age

a) The Lead Agency serves children from __**birth**__ weeks to __**13**__ years (maximum age under age 13).

b) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are physically and/or mentally incapable of self-care? (658E(c)(3)(B), 658P(3), §98.20(a)(1)(ii))

☒ Yes, and the upper age is 18. Provide the Lead Agency definition of *physical or mental incapacity* – **Incapacity (or incapacitated) means a physical or mental condition which, based on the conclusions of a licensed physician, psychiatrist or psychologist, renders a parent incapable of providing adequate care for a child or, in the case of a child, incapable of caring for himself or herself. (Receipt of VA disability or SSI does not in and of itself constitute incapacity.)**
☐ No.

c) Does the Lead Agency allow CCDF-funded child care for children age 13 and above but below age 19 years who are under court supervision? (658P(3), 658E(c)(3)(B), §98.20(a)(1)(ii))

☐ Yes, and the upper age is _____
☒ No.

2.3.3. Eligibility Criteria Based Upon Work, Job Training or Educational Program

a) How does the Lead Agency define "working" for the purposes of eligibility? Provide a narrative description below, including allowable activities and if a minimum number of hours is required.

Reminder – Lead Agencies have the flexibility to include any work-related activities in its definition of working, including periods of job search and travel time. (§§98.16(f)(3), 98.20(b))

- *working* – **Employment for a minimum average of 15 hours per week (either alone or in combination with a job training or educational program) in any legally operating place of business from which the parent receives wages, salaries, commissions and tips equal to, or greater than, the federal minimum wage.**

b) Does the Lead Agency provide CCDF child care assistance to parents who are attending job training or an educational program? (§§98.16(g)(5), 98.20(b))

☒ Yes. If yes, how does the Lead Agency define "attending job training or educational program" for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to include any training or education-related activities in its definition of job training or education, including study time and travel time.

- *attending job training or educational program* – **enrolled in, attending and satisfactorily participating in a job training or educational program, either alone or in combination with gainful employment, for a minimum average of 15 hours per week. (Students enrolled full-time in an educational program, in accordance with the institution's definition of full-time are deemed to meet this requirement.)**

☐ No.

2.3.4. Eligibility Criteria Based Upon Receiving or Needing to Receive Protective Services

a) Does the Lead Agency provide child care to children in protective services? (§§98.16(f)(7), 98.20(a)(3)(ii)(A) & (B))

☒ Yes. If yes, how does the Lead Agency define "protective services" for the purposes of eligibility? Provide a narrative description below.

Reminder – Lead Agencies have the flexibility to define protective services beyond formal child welfare or foster care cases. Lead Agencies may elect to include homeless children and other vulnerable populations in the definition of protective services.

Note – If the Lead Agency elects to provide CCDF-funded child care to children in foster care whose foster care parents are <u>not</u> working, or who are <u>not</u> in education/training activities for CCDF purposes these children are considered to be in <u>protective services</u> and should be included in this definition.

- *protective services* – **Services provided by the Department to, or on behalf of, children in response to reports of alleged abuse, neglect or exploitation. For purposes of the Child Care Subsidy Program, children in Foster Care are considered to be in protective services.**

☐ No.

b) Does the Lead Agency waive, on a case-by-case basis, the co-payment and income eligibility requirements for cases in which children receive, or need to receive, protective services? (658E(c)(3)(B), 658P(3)(C)(ii), §98.20(a)(3)(ii)(A))

☒ Yes.
☐ No.

2.3.5. Income Eligibility Criteria

a) How does the Lead Agency define "income" for the purposes of eligibility? Provide the Lead Agency's definition of "income" for purposes of eligibility determination. (§§98.16(g)(5), 98.20(b))

- *income* – **See Attachment 2.3.5. Income not specifically identified Attachment 2.3.5 is not considered as income and <u>must not be considered</u> for purposes of determining eligibility or in calculating parental fees**.

b) Which of the following sources of income, if any, will the Lead Agency exclude from calculations of total family income for the purposes of eligibility determination? Check any income the Lead Agency chooses to exclude, if any.

☐ Adoption subsidies
☐ Foster care payments
☐ Alimony received or paid
☐ Child support received
☐ Child support paid
☒ Federal nutrition programs
☒ Federal and/or State/Territory tax credits
☒ Housing allotments, Low-Income Energy Assistance Program (LIHEAP) or energy assistance
☒ Medical expenses or health insurance related expenses
☐ Military housing or other allotment/bonuses

☐ Scholarships, education loans, grants, income from work study
☐ Social Security Income
☐ Supplemental Security Income (SSI)
☐ Veteran's benefits
☐ Unemployment Insurance
☐ Temporary Assistance for Needy Families (TANF)
☐ Worker Compensation
☒ Other types of income not listed above
Education loans, child support arrears from state/federal tax offset

☐ None

c) Whose income will be excluded, if any, for purposes of eligibility determination? Check anyone the Lead Agency chooses to exclude, if any.

☐ Children under age 18
☐ Children age 18 and over – still attending school
☐ Teen parents living with parents
☒ Unrelated members of household
☐ All members of household except for parents/legal guardians
☒ Other
If a teen parents lives with a responsible adult who is <u>not</u> the parent or legal guardian, the income of the responsible adult is excluded.
☐ None

d) Provide the CCDF income eligibility limits in the table below. **Complete** columns (a) and (b) based upon maximum eligibility initial entry into the CCDF program. Complete Columns (c) and (d) **ONLY IF** the Lead Agency is using income eligibility limits lower than 85% of the SMI.

Family Size	(a) 100% of State Median Income (SMI) ($/month)	(b) 85% of State Median Income (SMI) ($/month) [Multiply (a) by 0.85]	IF APPLICABLE Income Level if lower than 85% SMI	
			(c) $/month	(d) % of SMI [Divide (c) by (a), multiply by 100]
1	2,613	2,221	1,180	**45%**
2	3,661	3,112	1,594	**44%**
3	4,523	3,844	2,007	**44%**
4	5,025	4,271	2,421	**48%**
5	6,246	5,309	2,835	**45%**

Reminder - Income limits must be provided in terms of State Median Income (SMI) (or Territory Median Income) even if federal poverty level is used in implementing the program. (§98.20(a)(2)). FY 2011 poverty guidelines are available at http://aspe.hhs.gov/poverty/11poverty.shtml.

e) Will the Lead Agency have "tiered eligibility" (i.e., a separate income limit at re-determination to remain eligible for the CCDF program)?

☐ Yes. If yes, **provide** the requested information from the table in 2.3.5d and **describe** _____.
Note: This information can be included in a separate table, or by placing a "/" between the entry and exit levels in the above table.

☒ No.

f) SMI Year <u>2011</u>   and   SMI Source <u>LIHEAP</u>

g) These eligibility limits in column (c) became or will become effective on: <u>October 1, 2011</u>

2.3.6. Eligibility Re-determination

a) What is the re-determination period upon initial authorization of CCDF services for most families?

☒ 6 months
☐ 12 months
☐ 24 months
☐ Other. Describe _____
☐ Length of eligibility varies by county or other jurisdiction. Describe _____

b) Is the re-determination period the same for all CCDF eligible families?

☐   Yes.
☒   No. If no, **identify** those families where eligibility authorizations differ and the length of re-determination for those families. **Check which families for whom authorizations are different.**
    ☐ Families enrolled in Head Start and/or Early Head Start Programs. Re-determination period _____
    ☐ Families enrolled in pre-kindergarten programs. Re-determination period _____
    ☒ Families receiving TANF.
    Re-determination period varies based on the length of the JOBS Program activity, but does not to exceed 6 months.
    ☐ Families who are very-low income, but not receiving TANF. Re-determination period _____
    ☒ Other. Describe:
    Redetermination period varies for Child Welfare cases based on the needs of the family but does not exceed 6 months.

2.3.7. Waiting Lists

Describe the Lead Agency's waiting list status. Select **ONE** of these options.

☐ Lead Agency currently does not have a waiting list and:
    ☐ All eligible families *who apply* will be served under State/Territory eligibility rules
    ☐ Not all eligible families *who apply* will be served under State/Territory eligibility rules
☒ Lead Agency has an active waiting list for:
    ☐ Any eligible family who applies when they cannot be served at the time of application
    ☒ Only certain eligible families. Describe those families:
☐ Other. Describe _____

2.3.8. Appeal Process for Eligibility Determinations

Describe the process for families to appeal eligibility determinations
A parent has the right to request an administrative review or an administrative hearing in response to any action taken to deny, reduce or terminate services, if the parent feels such action was taken outside the context of Program policy. Each parent must be advised of their right to request an administrative review or hearing, as well as the procedures for requesting an administrative review or hearing, at each determination of initial and continuing eligibility for services or whenever action is taken to deny, reduce or terminate services. The administrative review must be scheduled as soon as is administratively feasible after the CMA receives the written request. The review must be conducted by the appropriate administrative staff member. The administrative hearing request must be forwarded to the Lead Agency Hearing Officer. Administrative Hearing are scheduled by the Lead Agency hearing officer.

2.4. Sliding Fee Scale and Family Contribution

The statute and regulations require Lead Agencies to establish a sliding fee scale that varies based on income and the size of the family to be used in determining each family's contribution (i.e., co-payment) to the cost of child care (658E(c)(3)(B) §98.42).

2.4.1. Attach a copy of the sliding fee scale as Attachment 2.4.1. The attached sliding fee scale was or will be effective as of: October 1, 2011

2.4.2. Will the attached sliding fee scale provided as Attachment 2.4.1. be used in all parts of the State/Territory?

☒ Yes
☐ No. If no, attach other sliding fee scales and their effective date(s) as **Attachment 2.4.2a, 2.4.2b**, etc.

2.4.3. What income source and year will be used in creating the sliding fee scale? (658E(c)(3)(B)) Check only one option.

☐ State Median Income, Year: _____
☒ Federal Poverty Level, Year: 2011
☐ Income source and year varies by geographic region. Describe income source and year: _____
☐ Other. Describe income source and year: _____

2.4.4. How will the family's contribution be calculated and to whom will it be applied? Check all that the Lead Agency has chosen to use. (§98.42(b))

☒ Fee as dollar amount and
    ☒ Fee is per child with the same fee for each child
    ☐ Fee is per child and discounted fee for two or more children
    ☐ No additional fee charged after certain number of children
    ☐ Fee per family
☐ Fee as percent of income and
    ☐ Fee is per child with the same fee for each child
    ☐ Fee is per child and discounted fee for two or more children
    ☐ No additional fee charged after certain number of children
    ☐ Fee per family
☐ Contribution schedule varies by geographic area
☐ Other. Describe _____

If the Lead Agency checked more than one of the options above, describe _____

2.4.5. Will the Lead Agency use other factors in addition to income and family size to determine each family's contribution to the cost of child care? (658E(c)(3)(B), §98.42(b))

☐   Yes, and describe those additional factors:
☒   No.

2.4.6. The Lead Agency may waive contributions from families whose incomes are at or below the poverty level for a family of the same size. (§98.42(c)). Select **ONE** of these options.

Reminder – Lead Agencies are reminded that the co-payments may be waived for only two circumstances - for families at or below the poverty level or on a case-by-case basis for children falling under the definition of "protective services" (as defined in 2.3.4.a).

☐   ALL families, including those with incomes at or below the poverty level for families of the same size, ARE required to pay a fee.

☐ NO families with income at or below the poverty level for a family of the same size ARE required to pay a fee. The poverty level used by the Lead Agency for a family of 3 is: $_____

☒ SOME families with income <u>at or below the poverty level</u> for a family of the same size ARE NOT required to pay a fee. The Lead Agency waives the fee for the following families:
Families with income below 30% of the federal poverty level are not required to pay a fee.

2.5. Prioritizing Services for Eligible Children and Families

At a minimum, CCDF requires Lead Agencies to give priority for child care assistance to children with special needs, or in families with very low incomes. Prioritization of CCDF assistance services is not limited to eligibility determination (i.e., establishment of a waiting list or ranking of eligible families in priority order to be served). Lead Agencies may fulfill priority requirements in other ways such as higher payment rates for providers caring for children with special needs or waiving co-payments for families with very low incomes (at or below the federal poverty level). (658E(c)(3)(B), §98.44)

2.5.1. How will the Lead Agency prioritize child care services to children with special needs or in families with very low incomes? (658E(c)(3)(B), §98.44) Lead Agencies have the discretion to define *children with special needs* and *children in families with very low incomes*. Lead Agencies are not limited in defining *children with special needs* to only those children with physical or mental disabilities (e.g., with a formal Individual Education Plan (IEP) required under the Individuals with Disabilities Education Act (IDEA)). Lead Agencies could consider children in the child welfare system, children of teen parents, or homeless children as examples of *children with special needs*.

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
Children with special needs **Provide the Lead Agency definition of** *Children with Special Needs:* **A child who is receiving protective services or foster care services from the Department, and who has been determined by the Department to need child care services.**	☒ Priority over other CCDF-eligible families ☐ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other. Describe	☐ Yes. The time limit is: _____ ☒ No	☐ Different eligibility thresholds. Describe _____ ☐ Higher rates for providers caring for children with special needs requiring additional care ☐ Prioritizes quality funds for providers serving these children

How will the Lead Agency prioritize CCDF services for:	Eligibility Priority (Check only one)	Is there a time limit on the eligibility priority or guarantee?	Other Priority Rules
	_____		☐ Other. Describe _____
Children in families with very low incomes **Provide the Lead Agency definition of** *Children in Families with Very Low Incomes*: **All families with income at or below 30% of the poverty level.**	☐ Priority over other CCDF-eligible families ☒ Same priority as other CCDF-eligible families ☐ Guaranteed subsidy eligibility ☐ Other. Describe _____	☐ Yes. The time limit is: _____ ☒ No	☐ Different eligibility thresholds. Describe _____ ☐ Waiving co-payments for families with incomes at or below the Federal Poverty Level ☒ Other. Describe: **Waiving co-payments for families with incomes at or below 30% of the Federal Poverty Level**

2.5.2. How will CCDF funds be used to provide child care assistance to meet the needs of families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF? (658E(c)(2)(H), Section 418(b)(2) of the Social Security Act, §§98.50(e), 98.16(g)(4))

Reminder - CCDF requires that not less than 70 percent of CCDF Mandatory and Matching funds be used to provide child care assistance for families receiving Temporary Assistance for Needy Families (TANF), those attempting to transition off TANF through work activities, and those at risk of becoming dependent on TANF.

☒ Use priority rules to meet the needs of TANF families
☐ Waive fees (co-payments) for some or all TANF families who are below poverty level
☒ Coordinate with other entities (i.e. TANF office, other State/Territory agencies, and contractors)
☐ Other: _____

2.5.3. List and define any other eligibility conditions, priority rules and definitions that will be established by the Lead Agency. (658E(c)(3)(B), §98.16(g)(5), §98.20(b)) **Reminder** – Lead Agencies are reminded that any eligibility criteria and terms provided below must comply with the eligibility requirements of §98.20 and provided in section 2.2. Any priority rules provided must comply with the priority requirements of §98.44 and provided in section 2.4.1.

Term(s)	Definition(s)

2.6. Parental Choice In Relation to Certificates, Grants or Contracts

The parent(s) of each eligible child who receives or is offered financial assistance for child care services has the option of either enrolling such child with a provider that has a grant or contract for the provision of service or receiving a child care certificate. (658E(c)(2)(A), §98.15(a))

2.6.1. Child Care Certificates

a) When is the child care certificate (also referred to as voucher or authorization) issued to parents? (658E(c)(2)(A)(iii), 658P(2), §98.2, §98.30(c)(4) & (e)(1) & (2))

☐ Before parent has selected a provider
☒ After parent has selected a provider
☒ Other. Describe: **At completion of the eligibility determination process if the parent has selected a provider**.

b) How does the Lead Agency inform parents that the child care certificate permits them to choose from a variety of child care categories, including child care centers, child care group homes, family child care homes, and in-home providers? (§98.30(e)(2))

☐ Certificate form provides information about choice of providers
☐ Certificate is not linked to a specific provider so parents can choose provider of choice
☒ Consumer education materials (flyers, forms, brochures)
☐ Referral to child care resource and referral agencies
☒ Verbal communication at the time of application
☐ Public Services Announcement
☐ Agency Website: ___
☐ Community outreach meetings, workshops, other in person activities
☐ Multiple points of communication throughout the eligibility and renew process
☒ Other. Describe: **The caseworker gives an explanation whenever the parent requests to change providers. Also information is found on the Parent Agreement and Parental Choice form. The parental choice form is issued whenever the parent notifies the case manager of a change in providers.**

c) What information is included on the child care certificate? **Attach a copy of the child care certificate as Attachment 2.6.1.** (658E(c)(2)(A)(iii))

☒ Authorized provider(s)

☒ Authorized payment rate(s)
☐ Authorized hours
☒ Co-payment amount
☒ Authorization period
☒ Other. Describe
Authorized unit of care - full-time or part-time, (full-time equals more than 25 hours per week, part-time equals 25 or fewer hours per week), care level of the child, provider name and address.

d) What is the estimated proportion of services that will be available for child care services through certificates?
100% of services are offered through certificates.

2.6.2. Child Care Services Available through Grants or Contracts

a) In addition to offering certificates, does the Lead Agency provide child care services through grants or contracts for child care slots? (658A(b)(1), 658P(4), §§98.16(g)(1), 98.30(a)(1) & (b)). **Note**: Do not check "yes" if every provider is simply required to sign an agreement in order to be paid in the certificate program.

　　☐　　Yes. If yes, **describe** the type(s) of child care services available through grants or contracts, the process for accessing grants or contracts, and the range of providers that will be available through grants or contracts: _____

　　☒　　No.

b) Will the Lead Agency use grants or contracts for child care services to achieve any of the following? Check the strategies, if any, that your State/Territory chooses to implement.

　　☐ Increase the supply of specific types of care
　　　　☐ Programs to serve children with special needs
　　　　☐ Wrap-around or integrated child care in Head Start, Early Head Start, pre-k, summer or other programs
　　　　☐ Programs to serve infant/toddler
　　　　☐ School-age programs
　　　　☐ Center-based providers
　　　　☐ Family child care providers
　　　　☐ Group-home providers
　　　　☐ Programs that serve specific geographic areas
　　　　　　☐ Urban
　　　　　　☐ Rural
　　　　☐ Other. Describe ___
　　☐ Support programs in providing higher quality services
　　☐ Support programs in providing comprehensive services
　　☐ Serve underserved families. Specify: _____
　　☐ Other. Describe ___

c) Are child care services provided through grants or contracts offered throughout the State/Territory? (658E(a), §98.16(g)(3))

    ☐   Yes.
    ☐   No, and **identify** the localities (political subdivisions) and services that are not offered: ___

d) How are payment rates for child care services provided through grants/contracts determined? _____

e) What is the estimated proportion of direct services that will be available for child care services through grants/contracts? _____

2.6.3. How will the Lead Agency inform parents and providers of policies and procedures for affording parents unlimited access to their children whenever their children are in the care of a provider who receives CCDF funds? (658E(c)(2)(B), §98.31)) Check the strategies that will be implemented by your State/Territory.

☐ Signed declaration
☒ Parent Application
☐ Parent Orientation
☒ Provider Agreement
☐ Provider Orientation
☒ Other. Describe: <u>Parent Agreement</u>

2.6.4. The Lead Agency must allow for in-home care (i.e., care provided in the child's own home) but may limit its use. (§§98.16(g)(2), 98.30(e)(1)(iv)) Will the Lead Agency limit the use of in-home care in any way?

☐ No
☒ Yes. If checked, what limits will the Lead Agency set on the use of in-home care? Check all limits the Lead Agency will establish.
    ☐ Restricted based on minimum number of children in the care of the provider to meet minimum wage law or Fair Labor Standards Act
    ☐ Restricted based on provider meeting a minimum age requirement
    ☐ Restricted based on hours of care (certain number of hours, non-traditional work hours)
    ☐ Restricted to care by relatives
    ☐ Restricted to care for children with special needs or medical condition
    ☐ Restricted to in-home providers that meet some basic health and safety requirements
    ☒ Other. Describe **Restricted based on provider signing an agreement that they are meeting requirements of the Fair Labor Standards Act.**

2.6.5. Describe how the Lead Agency maintains a record of substantiated parental complaints about providers and makes substantiated parental complaints available to the public on request. (658E(c)(2)(C), §98.32)

The parental complaint process for all licensed care in the State is regulated under the Alabama Administrative Procedures Act, which provides for release to any requesting adult all substantiated complaints in regard to licensing violations, not including certain privileged and/or confidential information. Information on center care is available from the State Department of Human Resources. Family and Group Home Care information is available from the 67 individual County Departments.

For care that is exempt from licensure, the CMAs or the various licensing units of the Department act as "intake" points. Since there is no "legal access" to providers exempt from licensure, no investigation is conducted; therefore, neither party actually makes a determination of "substantiation" of the complaint. Instead, if the complaint is made to the Department, it is referred to the appropriate legal entity (District Attorney). If the CMA receives the complaint, the parent is given a form upon which to note complaints. This form is forwarded to the provider who is allowed and encouraged to make a rebuttal. Such response is shared with the parent making the complaint, kept on file at the CMA for release upon request, and forwarded to the appropriate Department licensing unit, where it is then referred to the appropriate legal entity.

The Departments handle complaints regarding licensing violations and child abuse, neglect, and/or exploitation. On-site investigations may be made in these instances.

2.7. Payment Rates for Child Care Services

The statute at 658E(c)(4) and the regulations at §98.43(b)(1) require the Lead Agency to establish adequate payment rates for child care services that ensure eligible children equal access to comparable care.

2.7.1. Provide a copy of your payment rates as Attachment 2.7.1. The attached payment rates were or will be effective as of: **October 1, 2011.**

2.7.2. Are the attached payment rates provided in Attachment 2.7.1 used in all parts of the State/Territory?

☒ Yes.
☐ No. If no, attach other payment rates and their effective date(s) as **Attachment 2.7.2a, 2.7.2b**, etc.

2.7.3. Which strategies, if any, will the Lead Agency use to ensure the timeliness of payments?

☐ Policy on length of time for making payments. Describe length of time _____

☒ Track and monitor the payment process

☒ Other. Describe: **Effective July 1, the Lead Agency will implement an electronic child care time and attendance system (TAS). The TAS will allow for weekly reimbursement to providers on the same day of each week.**
☐ None

2.7.4. Market Rate Survey

Lead Agencies must complete a local Market Rate Survey (MRS) no earlier than two years prior to the effective date of the Plan (no earlier than October 1, 2009). The MRS must be completed prior to the submission of the CCDF Plan (see Program Instruction CCDF-ACF-PI-2009-02 http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-02/pi2009-02.htm for more information on the MRS deadline).

a) Provide the month and year when the local Market Rate Survey(s) was completed (§98.43(b)(2)): <u>May 2011</u>.

b) Attach a copy of the **MRS instrument** and a **summary of the results** of the survey **as Attachment 2.7.4.** For Lead Agencies that use an administrative provider database, provide a copy of the intake form as the instrument. The summary should include a description of the sample population, data source, the type of methodology used, response rate, description of analyses, and key findings.
Attached MRS instrument issued in April 2011. Summary of results is from the 2009 MRS. 2011 MRS is in progress.

2.7.5. Will the Lead Agency use the local Market Rate Survey identified in 2.7.4a (i.e., the most recent MRS) to set its payment rates?

☒ Yes
☐ No
If no, list the MRS year that the payment rate ceiling is based upon

_____

2.7.6. At what percentile of the most recent local MRS are or will payment rates be set? Provide the percentile for your payment rate ceiling in relation to the most recent survey and **describe**.

Note: Identify the percentile where payment rates fall according to the most recent local MRS (identified in 2.6.4a) regardless of whether or not you use the most recent survey to set rates. If the percentile(s) varies across categories of care (e.g., different for centers and family child care homes), regions or ages of children, provide the range of the highest and lowest percentile in relation to the most recent survey. **Percentile rate varies by region, age of child, and type of child care setting. The percentile ranges from the 12th percentile to the 51st percentile of the 2009 market rate survey. Maximum reimbursable rates for center care and family and group home day care are set such that rates are within $15 of the average region rate determined by the 2009 market rate survey.**

2.7.7. Will the Lead Agency provide any type of tiered reimbursement or differential rates on top of its base reimbursement rates for providing care for children receiving CCDF subsidies? Check which types of tiered reimbursement, if any, the Lead Agency has chosen to implement.

☐ Differential rate for nontraditional hours. Describe _____
☐ Differential rate for children with special needs as defined by the State/Territory. Describe _____
☐ Differential rate for infants and toddlers. Describe _____
☐ Differential rate for school-age programs. Describe _____
☐ Differential rate for higher quality as defined by the State/Territory. Describe _____
☐ Other differential rate. Describe ___
☒ None.

2.7.8. Will the Lead Agency allow providers to charge parents any additional fees? Check the policies, if any, the Lead Agency has chosen to establish regarding additional fees.

☒ Providers are allowed to charge the difference between the maximum reimbursement rate and their private pay rate
☒ Providers are allowed to charge registration fees
☒ Providers are allowed to charge for transportation fees
☒ Providers are allowed to charge for meals.
☒ Providers are allowed to charge additional incidental fees such as field trips or supplies
☐ Policies vary across region, counties and or geographic areas. Describe ___
☐ No, providers may not charge parents any additional fees
☒ Other. Describe ___
☐ None

2.7.9. Describe how payment rates are adequate to ensure equal access to the full range of providers based on the Market Rate Survey.

CCDF regulations require the Lead Agency to certify that the payment rates for the provision of child care services are sufficient to ensure equal access for eligible families to child care services comparable to those provided to families not eligible to receive CCDF assistance. To demonstrate equal access, the Lead Agency shall provide at a minimum a summary of facts describing: (§98.43(a))

a) How a choice of the full range of providers, e.g., child care centers, family child care homes, group child care homes and in-home care, is made available (§98.43(a)(1))
Parental choice is explained to parents at application and each time the parent wishes to change child care Providers. When the parent requests to change providers they are given a Parental Choice form which explains their right to choose from among all legally operating child care providers. A statement

explaining the parent's ability to choose from among all categories of legally operating child care is included on the Parent Agreement which the parent receives at each application.

b) How payment rates are adequate based on the most recent local MRS (§98.43(a)(2)).
The Market Rate Survey conducted by the Lead Agency collected rate data for licensed and legally operating center and family and group day care home providers (Informal relative and in-home care providers were not included in the survey). The data was then filtered by type of provider (Centers, Family Day Care Homes, and Group Day Care Homes); by care level (Infant/Toddler, Preschool, School-age); and by Child Care Management Agency region. Maximum reimbursable rates for center care and family and group home day care are set such that rates are within $15 of the average region rate determined by the 2009 market rate survey.

c) How family co-payments based on a sliding fee scale are affordable (§98.43(a)(3))
The parental co-payments are adjusted based on family size and income. The scale is designed to ensure a parent's contribution does not exceed 10% of the family's income. Current co-pays average 7% of a family's income.

d) Any additional facts the Lead Agency considered to determine that its payment rates ensure equal access _____

2.7.10 Goals for the next Biennium – What are the Lead Agency's goals for the administration of the CCDF subsidy program in the coming Biennium? For example, what progress does the State/Territory expect to make on continuing improved services to parents and providers, continuity of care for children, improving outreach to parents and providers, building or expanding information technology systems, or revising rate setting policies or practices) _____
During the next Biennium the Lead Agency plans to expand the information system to include more edits and reminders. To improve policy with Child Welfare and TANF agency to improve continuity of care for families eligible for prioritized services and improve the timeframe between referral and the approval of care.

Part 3

Health and Safety and Quality Improvement Activities

In this section, Lead Agencies are asked to describe their goals and plans for implementation of child care quality improvement activities. Under the Child Care and Development Block Grant Act, Lead Agencies have significant responsibility for ensuring the health and safety of children in child care through the State/Territory's child care licensing system and establishing health and safety standards for children who receive CCDF funds. Health and safety is the foundation of quality, but is not adequate to ensure that programs and staff are competent in supporting all areas of child development and promoting school success.

Quality investments and support systems to promote continuous quality improvement of both our programs and the staff who work in them are a core element of CCDF. This section allows Lead Agencies to describe the steps that they are taking toward continuous quality improvement with a goal of having high quality child care options across settings for all families. While one of the key goals for CCDF is helping more low-income children access higher quality care, the Lead Agency has the flexibility to consider its goals and strategic plans for a child care quality improvement system for all families, not just those receiving assistance under CCDF.

Part 3 is organized based on four key components of quality which encompass most of the quality investments and initiatives undertaken by Lead Agencies:

1. Ensuring health and safety of children through **licensing and health and safety standards**
2. Establishing **early learning guidelines**
3. Creating pathways to excellence for child care programs through **program quality improvement activities**
4. Creating pathways to an effective, well-supported child care workforce through **professional development systems and workforce initiatives.**

For each component, Lead Agencies are asked to conduct a three-part process. In this section, Lead Agencies conduct a self-assessment by describing the current status of their efforts, using common practices and best practices to list characteristics. Lead Agencies then are asked to identify goals for making progress during the FY 2012-2013 biennium and describe their data, performance measure and evaluation capacity for each component.

It is expected that the Lead Agency is making systematic investments towards child care quality improvement across its early childhood and school-age spectrum – including all settings, geographic coverage and age range – that will help show progress toward these outcomes and goals. Ultimately, these child care quality improvement elements should be fully implemented and integrated. Until that point,

States/Territories are expected to fall on a continuum of progress. Baseline information on status and capacity for these elements and goals for the upcoming two-year period will be captured in this section. Progress on these elements will be reported using the Quality Performance Report in Appendix 1 as the final step.

3.1. Activities to Ensure the Health and Safety of Children in Child Care (Component #1)

This section is intended to collect information on how Lead Agencies meet the statutory and regulatory provisions related to licensing and health and safety requirements. The CCDBG statute and the CCDF regulations address health and safety primarily in two ways.

First, Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced. Second, Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF.

The relationship between licensing requirements and health and safety requirements varies by State/Territory depending on how comprehensive the licensing system is. In some States and Territories, licensing may apply to the majority of CCDF-eligible providers and the licensing standards cover the three CCDF health and safety requirements so the State/Territory has few, if any, providers for whom they need to establish additional CCDF health and safety requirements. In other cases, States and Territories have elected to exempt large numbers of providers from licensing which means that those exempted providers who care for children receiving assistance from CCDF will have to meet to the CCDF health and safety requirements through an alternative process outside of licensing. The State/Territory may also elect to impose more stringent standards and licensing or regulatory requirements on child care providers of services for which assistance is provided under the CCDF than the standards or requirements imposed on other child care providers. (§98.40(b)(1)) Section 3.1 asks the State/Territory to identify and describe the components of both the licensing and CCDF health and safety requirements, indicate which providers are subject to the requirements, and describe compliance and enforcement activities. (658E(c)(2)(F), §98.41)

3.1.1. Compliance with Applicable State/Territory and Local Regulatory Requirements on Licensing

Lead Agencies shall certify that they have in effect licensing requirements applicable to child care services provided within the area served by the Lead Agency (§98.40(a)(1)). These licensing requirements need not be applied to specific types of

providers of child care services (658(E)(c)(2)(E)(i). Lead Agencies must describe those licensing requirements and how they are effectively enforced.

Definition: Licensing requirements are defined as regulatory requirements, including registration or certification requirements established under State, local, or tribal law, necessary for a provider to legally operate and provide child care services in a State or locality (§98.2). <u>This does not include registration or certification requirements solely for child care providers to be eligible to participate in the CCDF program. Those requirements will be addressed in 3.1.2.</u>

a) Is the Lead Agency responsible for child care licensing? (§98.11(a))

☒ Yes.
☐ No. Please identify the entity/agency responsible for licensing

b) **Provide a brief overview** of the relationship between the licensing requirements and CCDF health and safety requirements in your State/Territory. At a minimum, describe whether the State/Territory's licensing requirements serve as the CCDF health and safety requirements. **Licensing standards serves as the CCDF health and safety requirements for licensed center and licensed family and group day care homes**

c) CCDF identifies and defines four categories of care: child care centers, family child care homes, group child care homes and in-home child care providers (§98.2). The CCDF definition for each category is listed below. Within each CCDF category of care, please identify which types of providers are exempt from licensing in your State/Territory in the chart below.

CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
Center-Based Child Care	Center-based child care providers are defined as a provider licensed or otherwise authorized to provide child care services for fewer than 24 hours per day per child in a non-residential setting, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	Describe which types of center-based settings are exempt from licensing in your State/Territory For example, some jurisdictions exempt school-based centers, centers operated by religious organizations, summer camps, or Head Start programs. **Church/religious schools, public school programs, YMCAs, program on federal or government premises, programs operating less than 4 hours per day.**
Group Home Child Care ☐ N/A. Check if your	Group home child care provider is defined as two or more individuals who provide child care services for fewer than 24 hours per day per child, in a private residence other	Describe which types of group homes are exempt from licensing **None**

CCDF Category of Care	CCDF Definition (§98.2)	Are any providers in your State/Territory which fall under this CCDF category exempt from licensing?
State/Territory does not have group home child care.	than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)' work.	
Family Child Care	Family child care provider is defined as one individual who provides child care services for fewer than 24 hours per day per child, as the sole caregiver, in a private residence other than the child's residence, unless care in excess of 24 hours is due to the nature of the parent(s)'s work. **Reminder** - Do not check if family child care home providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of family child care home providers are exempt from licensing **None**
In-Home Care	In-home child care provider is defined as an individual who provides child care services in the child's own home. **Reminder** - Do not check if in-home child care providers simply must register or be certified to participate in the CCDF program separate from the State/Territory regulatory requirements.	Describe which types of in-home child care providers are exempt from licensing **All in-home providers are exempt from licensure.**

Note: In lieu of submitting or attaching licensing regulations to certify the requirements of §98.40(a)(1), Lead Agencies may provide their licensing regulations to the National Resource Center for Health and Safety in Child Care and Early Education. Please check the NRCKid's website at http://nrckids.org/ to verify the accuracy of your licensing regulations and provide any updates to the National Resource Center. **Check this box to indicate that the licensing requirements were submitted and verified at NRCKid's**. ☒

d) **Indicate** whether your State/Territory licensing requirements include any of the following four indicators for each category of care*.

*Source: National Resource Center for Health and Safety in Child Care and Early Education. (2003) Stepping Stones to Using Caring for Our Children: National Health and Safety Performance Standards, 2nd Ed. Health Resources and Services Administration, Maternal and Child Health Bureau. Available online: http://nrckids.org/stepping

Indicator	For each indicator, check all requirements for **licensing** that apply, if any.			
	Center-Based Child Care	**Group Home Child Care**	**Family Child Care**	**In-Home Care**
Do the licensing	☒ Child:staff	☒ Child:staff	☒ Child:staff	☐ Child:staff

requirements include **child:staff ratios and group sizes**? If yes, specify age group, where appropriate.	ratio requirement: ☐ Group size requirement: ☐ No requirements.	ratio requirement: ☐ Group size requirement: ☐ No requirements.	ratio requirement: ☐ Group size requirement: ☐ No requirements.	ratio requirement: ☐ Group size requirement: ☒ No requirements.
Do the licensing requirements identify specific experience and educational **credentials for child care directors**?	☒ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☒ Other: **Plus 144 hours**	☒ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other: **Plus 24 hours**	☒ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other: **Plus 24 hours**	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:
Do the licensing requirements identify specific experience and educational **credentials for child care teachers**?	☒ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other: **Plus 12 hours**	☒ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other: **Plus 12 hours**	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:	☐ High school/GED ☐ Child Development Associate (CDA) ☐ State/ Territory Credential ☐ Associate's degree ☐ Bachelor's degree ☐ No credential required for licensing ☐ Other:
Do the licensing requirements specify that directors and caregivers must attain a specific number of **training hours per year**?	☐ At least 30 training hours required in first year ☒ At least 24 training hours per year after first year ☐ No training requirement ☐ Other:	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☒ Other: **20 hours**	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☒ Other: **20 hours**	☐ At least 30 training hours required in first year ☐ At least 24 training hours per year after first year ☐ No training requirement ☐ Other:

e) Do you expect the licensing requirements for child care providers to change in FY2012-2013?

☐ Yes. Describe ▓▓▓▓▓
☒ No

3.1.2. Compliance with Applicable State/Territory and Local Regulatory Requirements on Health and Safety

Each Lead Agency shall certify that there are in effect, within the State or local law, requirements designed to protect the health and safety of children that are applicable to child care providers of services for which assistance is provided under CCDF. Such requirements shall include the prevention and control of infectious diseases (including immunization), building and physical premises safety, and minimum health and safety training appropriate to the provider setting. These health and safety requirements apply to all providers caring for children receiving CCDF services and which also may be covered by the licensing requirements. (658E(c)(2)(F), §98.41)

a) **Describe** the Lead Agency's health and safety requirements for prevention and control of infectious disease in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(i), §98.41(a)(1))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☐ Physical exam or health statement for providers	☒	☒	☒	☐
☐ Physical exam or health statement for children	☐	☐	☐	☐
☐ Tuberculosis check for providers	☒	☒	☒	☐
☐ Tuberculosis check for children	☐	☐	☐	☐
☐ Provider immunizations	☐	☐	☐	☐
☐ Child immunizations	☒	☒	☒	☐
☐ Hand-washing policy for providers and children	☒	☒	☒	☐
☐ Diapering policy and procedures	☐	☐	☐	☐
☐ Providers to submit a self-certification or complete health and safety checklist	☐	☐	☐	☐

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☒ Other. Describe **Checked items required for licensed facilities only.**	☐	☐	☐	☐

b) **Describe** the Lead Agency's health and safety requirements for building and physical premises safety, including policies and practices to protect from environmental hazards, in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(ii), §98.41(a)(2))

The Lead Agency requires:	For each health and safety requirement checked, identify which providers under the CCDF category must meet the requirement. Check all that apply.			
	Center-based child care providers	Family child care home providers	Group home child care providers	In-home child care providers
☒ Fire inspection	☒	☒	☒	☐
☐ Building inspection	☐	☐	☐	☐
☒ Health inspection	☒	☒	☒	☐
☒ Inaccessibility of toxic substances policy	☒	☒	☒	☐
☒ Safe sleep policy	☒	☒	☒	☐
☒ Tobacco exposure reduction	☒	☒	☒	☐
☒ Transportation policy	☒	☒	☒	☐
☒ Providers to submit a self-certification or complete health and safety checklist	☒ **Exempt from Licensure center providers**	☐	☐	☐
☐ Providers to meet the requirements of another oversight entity that fulfill the CCDF health and safety requirements	☐	☐	☐	☐
☐ Other. Describe .	☐	☐	☐	☐

c) **Describe** the Lead Agency's health and safety requirements for health and safety training in effect for child care providers of services for which assistance is provided under CCDF using the table below. (658E(c)(2)(F)(iii), §98.41(a)(3))

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
Child Care Centers	CPR **(one staff person only)**	X	X
	First aid **(one staff person only)**	X	X
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children	X	X
	Behavior management	X	X
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		
Group Home Child Care	CPR	X	X
	First aid	X	X
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development	X	X
	Supervision of children		
	Behavior management	X	X
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		
Family Child Care Providers	CPR	X	X
	First aid	X	X
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development	X	X
	Supervision of children		

CCDF Categories of Care	Health and safety training requirements	Pre-Service	On-Going
	Behavior management	X	X
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		
In-Home Child Care Providers	CPR		
	First aid		
	Training on infectious diseases		
	SIDS prevention (i.e., safe sleep)		
	Medication administration		
	Mandatory reporting of suspected abuse or neglect		
	Child development		
	Supervision of children		
	Behavior management		
	Nutrition		
	Breastfeeding		
	Physical activity		
	Working with children with special needs or disabilities		
	Emergency preparedness and response		
	Other. Describe _____		

e) CCDF allows Lead Agencies to exempt relative providers (grandparents, great-grandparents, siblings if living in a separate residence, aunts, and uncles) from these health and safety requirements. What are the Lead Agency's requirements for relative providers? (§98.41(A)(ii))(A))

☐ All relative providers are subject to the same health and safety requirements as described in 3.1.3a-c, as appropriate; there are no exceptions for relatives.
☒ Relative providers are NOT required to meet <u>any</u> health and safety requirements as described in 3.1.3a-c, as appropriate.
☐ Relative providers are subject to certain requirements. Describe the different requirements _____

f) Provide a web address for the State/Territory's health and safety requirements, if available: _____
www.dhr.alabama.gov - *Minimum Standards* for Licensed Centers.

3.1.3 Enforcement of Licensing Requirements

Each Lead Agency is required to provide a detailed description of the State/Territory's licensing requirements and how its licensing requirements are effectively enforced. (658E(c)(2)(E), §98.40(a)(2)) The Lead Agency is also required to certify that that procedures are in effect to ensure that child care providers caring for children receiving CCDF services comply with the applicable health and safety requirements. (658E(c)(2)(G), §98.41(d))

Describe the State/Territory's policies for effective enforcement of the licensing requirements using questions 3.1.3a through 3.1.3e below. This description includes whether and how the State/Territory uses visits (announced and unannounced), background checks, and any other enforcement policies and practices for the licensing requirements.

a) Does your State/Territory include **announced** and/or **unannounced** visits in its policies as a way to effectively enforce the licensing requirements?

☒ Yes. If "Yes" please refer to the chart below and check all that apply.
☐ No

CCDF Categories of Care	Frequency of Routine Announced Visits	Frequency of Routine Unannounced Visits
☒ Center-Based Child Care	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe ___	☐ Once a Year ☐ More than Once a Year ☒ Once Every Two Years ☐ Other. Describe ___
☒ Group Home Child Care	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe ___	☐ Once a Year ☐ More than Once a Year ☒ Once Every Two Years ☐ Other. Describe ___
☒ Family Child Care Home	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe ___	☐ Once a Year ☐ More than Once a Year ☒ Once Every Two Years ☐ Other. Describe ___
☐ In-Home Child Care	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe ___	☐ Once a Year ☐ More than Once a Year ☐ Once Every Two Years ☐ Other. Describe ___

b) Does your State/Territory have any of the following procedures in place for effective enforcement of the licensing requirements? If procedures differ based on the category of care, please indicate how in the "Describe" box.

☒ Yes. If "Yes" please refer to the chart below and check all that apply.
☐ No

Licensing Procedures	**Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements.
The State/Territory requires providers to attend	☐ Yes. Describe ___

Licensing Procedures	**Describe** which procedures are used by the State/Territory for enforcement of the licensing requirements.
or participate in training relating to opening a child care facility prior to issuing a license.	☒ No.
	☐ Other. Describe _____
Licensing staff has procedures in place to address violations found in an inspection.	☐ Providers are required to submit plans to correct violations cited during inspections.
	☐ Licensing staff approve the plans of correction submitted by providers.
	☒ Licensing staff verify correction of violation.
	☐ Licensing staff provide technical assistance regarding how to comply with a regulation.
	☐ No procedures in place.
	☐ Other. Describe _____
Licensing staff has procedures in place to issue a negative sanction to a noncompliant facility.	☒ Provisional or probationary license
	☒ License revocation or non-renewal
	☐ Injunctions through court
	☒ Emergency or immediate closure not through court action
	☐ Fines for regulatory violations
	☐ No procedures in place.
	☐ Other. Describe _____
The State/Territory has procedures in place to respond to illegally operating child care facilities.	☐ Cease and desist action
	☐ Injunction
	☐ Emergency or immediate closure not through court action
	☐ Fines
	☐ No procedures in place.
	☒ Other. Describe: Reports to District Attorney and Attorney General
The State/Territory has procedures in place for providers to appeal licensing enforcement actions.	☒ Yes. Describe: **An aggrieved person my request a fair hearing in the following situations: application for initial license is denied; application for renewal of a license is denied; application for initial license or renewal of a license is not acted upon within reasonable promptness identified as 60 days of receipt of all information; if a license is suspended or revoked.**
	☐ No.
	☐ Other. Describe _____

c) Describe what types of licensing violations, if any, would make a provider ineligible to participate in CCDF

Licensing revocation will make a provider ineligible to the participate in the Child Subsidy Program.

d) Does your State/Territory use **background checks** as a way to effectively enforce the licensing requirements?

      ☒ Yes. If "Yes" please use refer to the chart below to identify who is required to have background checks, what types of checks, and with what frequency. Please **also provide a brief overview** of the State/Territory's process for conducting background checks for child care. For example, describe what types of violations would make providers ineligible for CCDF, funding for background checks, and the process for providers to appeal background check findings.

Background checks are required for each Board Member, qwners, directors, teaching staff, non-teaching staff and volunteers in licensed child care facilities and exempt from licensure facilities that participate in the Child Care Subsidy Program.

      ☐ No

CCDF Categories of Care	Types of Background Check	Frequency
☒ **Center-Based Child Care** Who is subject to background checks for center-based care? For example, director, teaching staff, non-teaching staff, volunteers **Owners, directors, teaching staff, non-teaching staff and volunteers are subject to background checks.**	☒ Child Abuse Registry	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
	☒ State/Territory Criminal Background	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe Automatic updates when violations occur.
	☒ FBI Criminal Background (e.g., fingerprint)	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe

CCDF Categories of Care	Types of Background Check	Frequency
☒ **Group Child Care Homes** Who is subject to background checks for group homes? For example, provider, non-provider residents of the home **Provider, non-provider household members, assistant and substitutes, volunteers.**	☒ Child Abuse Registry	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
	☒ State/Territory Criminal Background	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe: **Automatic updates when violations occur.**
	☒ FBI Criminal Background (e.g., fingerprint)	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☒ Other. Describe **Automatic updates when violations occur.**
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
☒ **Family Child Care Homes** Who is subject to background checks for family child care homes? For example, provider, non-provider residents of the home **The provider, non-provider household members, volunteers, and provider substitutes.**	☒ Child Abuse Registry	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
	☒ State/Territory Criminal Background	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe **Automatic updates when violations occur.**
	☒ FBI Criminal Background (e.g., fingerprint)	☒ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe **Automatic updates when violations occur.**

CCDF Categories of Care	Types of Background Check	Frequency
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
☐ **In-Home Child Care Providers** Who is subject to background checks for in-home child care? For example, provider, non-provider residents of the home **In-home child care providers are not subject to criminal background checks.**	☐ Child Abuse Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
	☐ State/Territory Criminal Background	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
	☐ FBI Criminal Background (e.g., fingerprint)	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe
	☐ Sex Offender Registry	☐ Initial Entrance into the System ☐ Checks Conducted Annually ☐ Other. Describe

e) If not performing visits (announced or unannounced) or background checks, describe how the State/Territory will ensure that its licensing requirements are effectively enforced per the CCDF regulations? _____ (658E(c)(2)(E), §98.40(a)(2))

f) Does the State/Territory disseminate information to parents and the public, including the use of on-line tools or other "search tools," about child care program licensing status and compliance records?

☐ Yes. Describe _____
☒ No

3.1.4 Describe the State/Territory's policies for effective enforcement of the health and safety requirements. For providers who care for children receiving CCDF assistance and who are NOT subject to the enforcement procedures described above for licensed providers, please describe the health and safety

enforcement measures in place. Include in this description whether and how the State/Territory uses on-site visits (announced and unannounced) and background checks and any other enforcement policies and practices for the health and safety requirements.

> **Background checks (State and FBI) are required for exempt providers participating in the Child Care Subsidy Program.**

3.1.5 Does the State/Territory conduct developmental screenings of children? Lead Agencies are not required to conduct developmental screenings of children, but they State/Territory may choose to voluntarily conduct or require programs to conduct such screenings for other purposes.

☐ Yes. Describe ▢

    a) If yes, are resources and supports provided to programs for conducting developmental screenings?

        ☐ Yes. Describe ▢
        ☐ No
        ☐ Other. Describe ▢

    b) If yes, are resources and supports provided to programs to track when follow-up to screening is needed?

        ☐ Yes. Describe ▢
        ☐ No
        ☐ Other. Describe ▢

☒ No
☐ Other. Describe ▢

3.1.6 Data & Performance Measures on Licensing and Health and Safety Compliance – What data elements, if any, does the State/Territory currently have access to related to licensing compliance? What, if any, performance measures does the Lead Agency use for ensuring health and safety? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (e.g., infants and toddlers or school-age children).

    a) Data on licensing and health and safety. Indicate if the Lead Agency or another agency has access to data on:

        ☒ Number of licensed programs. Describe (optional) ▢
        ☐ Numbers of programs operating that are legally exempt from licensing. Describe (optional) ▢

☒ Number of programs whose licenses were suspended or revoked due to non-compliance. Describe (optional) �

☐ Number of injuries and fatalities in child care as defined by the State/Territory. Describe (optional) ▭

☒ Number of monitoring visits received by programs. Describe (optional)

Licensed centers only

☒ Caseload of licensing staff. Describe (optional)

Licensed centers only

☐ Number of programs revoked from CCDF due to non-compliance with health and safety requirements. Describe (optional) ▭

☐ Other. Describe ▭

☐ None

b) **Performance measurement**. What, if any, performance measures does the State/Territory use in its licensing system to monitor compliance with CCDF health and safety requirements?
None

c) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to licensing and health and safety? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.
The Lead Agency plans through the implementation of the Quality Rating and improvement system to assess providers using assessment tools, including environmental rating scales.

3.1.7 Goals for the next Biennium - What are the Lead Agency's goals for the licensing and health and safety system in the coming biennium? What progress does the State/Territory expect to make on core areas (e.g. higher licensing standards, more programs covered by licensing standards or health and safety requirements, more frequent visits or other effective enforcement, improved technical assistance, or fewer serious non-compliances?)
The Lead Agency goals for the next Biennium for licensing and health and safety is to refer providers with licensing deficiencies to Quality Enhancement training agency for specific, targeted training around the licensing deficiency.

3.2 Establishing Voluntary Early Learning Guidelines (Component #2)

For purposes of this section, voluntary early learning guidelines include the expectations for what children should know (content) and be able to do (skills). The term *early learning guidelines* (ELGs) refers to age-appropriate developmental learning guidelines for infants and toddlers and school-age children.

3.2.1 Has the State/Territory developed voluntary early learning guidelines for children? Check any early learning guidelines the

State/Territory has developed.

☒ Birth-to-three
☒ Three-to-five
☒ Five years and older
Alabama Early Learning Guidelines includes guidelines for five year olds.
☐ None. **Skip to 3.2.6.**

If yes, insert web addresses, where possible: **www.dhr.alabama.gov**

Which State/Territory agency is the lead for the early learning guidelines?
Alabama Department of Human Resources

3.2.2 Do the early learning guidelines cover a range of domains across physical, cognitive, and social and emotional development? Check all that apply for each age group as applicable in the chart below.

Domains	Birth-to-Three ELGs	Three-to-Five ELGs	Five and Older ELGs
Physical development and health	☒	☒	☒
Social and emotional development	☒	☒	☒
Approaches to learning	☐	☐	☐
Logic and reasoning (e.g., problem-solving)	☒	☒	☐
Language development	☒	☒	☒
Literacy knowledge and skills	☒	☒	☒
Mathematics knowledge and skills	☒	☒	☒
Science knowledge and skills	☒	☒	☒
Creative arts expression (e.g., music, art, drama)	☒	☒	☒
Social studies knowledge and skills	☐	☐	☐
English language development (for dual language learners)	☐	☐	☐
List any domains not covered in the above Self-Concept	☒	☒	☒
Other. Describe _____	☐	☐	☐

3.2.3 To whom are the early learning guidelines disseminated and in what manner? Check all audiences and methods that your State/Territory has chosen to use in the chart below.

	Information Dissemination	Voluntary Training	Mandatory Training
Parents in the child care subsidy system	☒	☐	☐
Parents using child care more broadly	☒	☐	☐
Practitioners in child care centers	☒	☒	☐

Providers in family child care home homes	☒	☒	☐
Practitioners in Head Start	☒	☒	☐
Practitioners in Early Head Start	☒	☒	☐
Practitioners in public Pre-K program	☒	☒	☐
Practitioners in elementary schools	☒	☒	☐
Other. List **Father-hood groups**	☒	☐	☐

3.2.4 Are voluntary early learning guidelines incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its early learning guidelines into other parts of the child care system.

☐ To define the content of training required to meet licensing requirements
☒ To define the content of training required for program quality improvement standards (e.g., QRIS standards)
☒ To define the content of training required for the career lattice or professional credential
☐ To require programs in licensing standards to develop curriculum/learning activities based on the voluntary ELGs
☐ To require programs in quality improvement standards to develop curriculum/learning activities based on the voluntary ELGs
☐ To develop State-/Territory –approved curricula
☐ Other. List _____
☐ None.

3.2.5 Are voluntary early learning guidelines aligned with into other parts of the child care system? Check the standards, if any, with which the State/Territory aligns its early learning guidelines.

☒ Cross-walked to align with Head Start Outcomes Framework
☒ Cross-walked to align with K-12 content standards
☒ Cross-walked to align with State/Territory pre-k standards
☐ Cross-walked with accreditation standards
☐ Other. List _____
☐ None.

3.2.6 Describe how your State/Territory uses ongoing assessments and measures of school readiness assessment using the following series of questions. In the description for each Yes response, please include a) who administers and b) how often assessments are conducted.

a) Are programs required to conduct ongoing assessments of children's progress of children using measures aligned with the early learning guidelines or other child standards?

☐ Yes. Describe �_____

      b-1) If yes, are programs encouraged to use information from ongoing assessments to improve practice and individual children's needs?

            ☐ Yes. Describe _____
            ☐ No
            ☐ Other. Describe _____

      b-2) If yes, is information on child's progress reported to parents?

            ☐ Yes. Describe _____
            ☐ No
            ☐ Other. Describe _____

☒ No
☐ Other. Describe _____

  b) Does the State/Territory use measures to track the readiness of children as they kindergarten?

      ☐ Yes. Describe _____

      c-1) If yes, do the measures cover the developmental domains identified in 3.2.2?

            ☐ Yes. Describe _____
            ☐ No
            ☐ Other. Describe _____

      c-2) If yes, are the measures used on all children or samples of children?

            ☐ All children. Describe _____
            ☐ Samples of children. Describe _____
            ☐ Other. Describe _____

      c-3) If yes, is the information from the school readiness measures used to target program quality improvement activities?

            ☐ Yes. Describe _____
            ☐ No
            ☐ Other. Describe _____

☒ No
☐ Other. Describe _____

3.2.7 Data & Performance Measures on Voluntary Early Learning Guidelines – What data elements, if any, does the State/Territory have access to on the dissemination of, implementation of, or children's attainment of the early learning guidelines? What, if any, performance measures does the State/Territory use for dissemination and implementation of the early learning guidelines? The

purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children).

a) **Data on voluntary early learning guidelines**. Indicate if the Lead Agency or another agency has access to data on:

☒ Number/percentage of child care providers trained on ELG's for preschool aged children. Describe (optional)
The Lead Agency has data on the total number of child care providers trained on the Alabama Early Learning Guidelines (AELG)

☒ Number/percentage of child care providers trained on ELG's for infants and toddlers. Describe (optional)
The Lead Agency has data on the total number of child care providers trained on the Alabama Early Learning Guidelines (AELG)

☐ Number of programs using ELG's in planning for their work. Describe (optional) _____
☐ Number of parents trained on or served in family support programs that use ELG's. Describe (optional) _____
☐ Other. Describe _____
☐ None

b) **Performance measurement**. What, if any, are the Lead Agency's performance measures related to dissemination and implementation of the early learning guidelines?
The Lead Agency measures:
    Number of facility in each provider category that has completed the AELG training;
    Number of staff that have completed AELG training;
    Number of AELG credential recipients
    Number of AELG books disseminated to providers and parents; and
    Number of trainings conducted each year.

c) **Evaluation**. What are the State/Territory's plans, if any, for evaluation related to early learning guidelines and the progress of children in child care? Evaluation can include efforts related to monitoring implementation of an initiative validation of standards or program assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.
The Lead Agency's Evaluation of the AELG is included as Attachment 3.2.7.

3.2.8 Goals for the next Biennium - What are the Lead Agency's goals for using voluntary early learning guidelines in the coming biennium? What progress does the Lead Agency expect to make related to early learning guidelines?
The Lead Agency for next Biennium is to:
- **Increase the number of AELG credential recipients;**
- **Imbed the AELG training into the Lead Agency's implementation of Quality Rating and Improvement System for centers; and**
- **Imbed the AELG training into the development of QRIS standards for Family and Group Day Care Homes;**
- **Conduct additional evaluation of the implementation of the AELG.**

3.3 Creating Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)

This section builds on the significant investments States and Territories have made in the area of program quality improvement systems. In this section, States and Territories provide a self-assessment on current program quality improvement activities and describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to a Quality Rating and Improvement System (QRIS) framework. QRIS refers to a systematic framework for evaluating, improving and communicating the level of quality in early childhood programs and contains five key elements:

1. Program standards
2. Supports to programs to improve quality
3. Financial incentives and supports
4. Quality assurance and monitoring
5. Outreach and consumer education

While not all States and Territories have developed or implemented a formal QRIS, all are pursuing quality improvement strategies that can be described within this framework (based upon previous CCDF Plans). Using this framework to organize this section allows States/Territories to report on their quality improvement activities systematically whether they have a QRIS or not. Over time, States and Territories are encouraged to work on linking their quality improvement initiatives and strategies across all of these elements, culminating in a comprehensive Quality Rating and Improvement System with adequate support for providers to attain higher levels of quality and transparency for parents and the community regarding the quality of child care.

a) Describe which entities are involved in planning and administering the program quality improvement activities in 3.3, including State/Territory entities and local or community level entities. _____
See attachment 3.3 for list of Quality Rating and Improvement System Steering

committee.

3.3.1 Element 1 – Program Standards

Definition – For purposes of this section, program standards refers to the expectations for quality, or quality indicators, which identify different levels of and pathways to improved quality. <u>Minimum licensing standards and health and safety requirements provided in section 3.1 are also program standards but in this section, we focus on those standards that build upon and go beyond those minimum requirements.</u>

a) Does your State/Territory's have quality improvement standards that include indicators covering the following areas beyond what is required for licensing? Check any indicators, if any, that your State/Territory has chosen to establish.

☐ Ratios and group size
☐ Health, nutrition and safety
☐ Learning environment and curriculum
☐ Staff/Provider qualifications and professional development
☐ Teacher/providers-child relationships
☐ Teacher/provider instructional practices
☐ Family partnerships and family strengthening
☐ Community relationships
☐ Administration and management
☐ Developmental screenings
☐ Child assessment for the purposes of individualizing instruction and/or targeting program improvement
☐ Cultural competence
☐ Other. Describe _____
☒ None. If checked, skip to 3.3.2.

b) Does your State/Territory have quality improvement standards with provisions about the care of any of these groups of children? Check any provisions your State/Territory has chosen to establish.

☐ Children with special needs as defined by your State/Territory
☐ Infants and toddlers
☐ School-age children
☐ Children who are dual language learners
☐ None

c) How do your State/Territory's quality standards link to State/Territory licensing requirements? Check any links between your State/Territory's quality standards and licensing requirements.

☐ Licensing is a pre-requisite for participation
☐ Licensing is the first tier of the quality levels
☐ State/Territory license is a "rated" license.

☐ Other. Describe ▭
☐ Not linked.

d) Do your State/Territory's quality improvement standards align with or have reciprocity with any of the following standards? Check any alignment, if any, between your State/Territory's quality standards and other standards.

☐ Programs that meet State/Territory pre-k standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between pre-k and the quality improvement system)
☐ Programs that meet Federal Head Start Performance Standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or there is a reciprocal agreement between Head Start and the quality improvement system)
☐ Programs that meet national accreditation standards are able to meet all or part of the quality improvement standards (e.g., content of the standards is the same, or an alternative pathway to meeting the standards)
☐ Other. Describe ▭
☐ None

3.3.2 Element 2 –Supports to Programs to Improve Quality

Definition – For purposes of this section, supports to programs to improve quality refers to such activities as technical assistance and consultation services for programs to assist in meeting child care quality improvement standards.

a) Check which types of and for what purposes the State/Territory uses supports to child care programs, if any, in the following chart. If none, skip to 3.3.3.

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
☒ Attaining and maintaining licensing compliance	☒	☒	☒
☒ Attaining and maintaining quality improvement standards beyond licensing	☒	☒	☒
☒ Attaining and maintaining accreditation	☒	☒	☒
☒ Providing targeted technical assistance in specialized content areas:			
Health and safety	☒	☒	☒
Infant/toddler care	☐	☒	☐
School-age care	☐	☒	☐

Types and Purposes of Support	Information or Written Materials	Training	On-Site Consultation
Inclusion	☒	☒	☒
Teaching dual language learners	☐	☐	☐
Mental health	☐	☐	☐
Business management practices	☒	☒	☒
Other. Describe ▬▬	☐	☐	☐
☐ None. Skip to 3.3.3.			

b) Methods used to customize quality improvement supports to the needs of individual programs include:

☒ Program improvement plans
☒ Technical assistance on the use of program assessment tools
☐ Other. Describe ▬▬

c) Is technical assistance linked to entering the QRIS or targeted to help programs forward on QRIS?

☐ Yes. Describe ▬▬
☒ No
☐ Other. Describe ▬▬

3.3.3 Element 3 – Financial Incentives and Supports

Definition – For purposes of this section, financial incentives refers to the types of monetary supports offered to programs in meeting and sustaining licensing and QRIS or other child care quality improvement standards for programs.

a) Identify which types of financial incentives are offered and to which providers in the following chart. Check which incentives and supports, if any, the State/Territory chooses to offer. If none, skip to 3.3.4.

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
☐ Grants to programs to meet or maintain licensing	☐	☐	☐
☒ Grants to programs to meet QRIS or similar quality level	☒	☒	☐
☒ One-time awards or bonuses on completion of quality standard attainment	☒	☒	☐
☐ Tiered reimbursement tied to quality for children receiving subsidy	☐	☐	☐
☐ On-going, periodic grants or stipends tied to maintaining quality	☐	☐	☐

Types of Financial Incentives and Supports for Programs	Child Care Centers	Child Care Homes	License-Exempt Providers
☐ Tax credits tied to meeting program quality standards	☐	☐	☐
☐ Other. Describe �	☐	☐	☐
☐ None. Skip to 3.3.4.	☐	☐	☐

3.3.4 – Element 4 - Quality Assurance and Monitoring

Definition – For purposes of this section, quality assurance and monitoring refers to the ways that the State/Territory measures program quality for the purposes of its QRIS or other quality improvement system and the methods for measuring that the child care quality improvement standards for programs are met initially and maintained over time.

a) What tools, if any, does the State/Territory use to measure and monitor the quality of programs? Check all that apply and briefly describe using the chart below, including which programs are required to participate and the frequency of assessments. **If none, skip to 3.3.5.**

Types of Program Quality Assessment Tools	Child Care Centers	Child Care Homes	License-Exempt Providers
☐ Environment Rating Scales (e.g., ECERS, ITERS, SACERS, FDCRS) Describe, including frequency of assessments. ▬	☐ Infant/Toddler ☐ Preschool ☐ School-Age	☒	☐
☐ Classroom Assessment Scoring System (CLASS) Describe, including frequency of assessments. ▬	☐	N/A	☐
☐ Program Administration Scale (PAS) for child care centers or Business Administration Scale (BAS) for family child care homes Describe, including frequency of assessments. ▬	☐	☐	☐
☐ Customized instrument, including submission of written documentation, developed for State/Territory quality improvement system. This may include instruments developed for quality improvements in 21st Century Learning Center programs Describe, including frequency of assessments. ▬	☐	☐	☐
☐ Other. Describe ▬	☐	☐	☐
☐ None. Skip to 3.3.5.	☐	☐	☐

b) What steps, if any, has the State/Territory taken to align quality assurance and monitoring across funding streams and sectors in order to minimize duplication?

☐ Have a mechanism to track different quality assessments/monitoring activities to avoid duplication
☐ Include QRIS or other quality reviews as part of licensing enforcement
☐ Have compliance monitoring in one sector (e.g., Head Start/Early Head Start, State/Territory pre-k) serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
☐ Have monitoring for meeting accreditation standards serve as validation for compliance with quality improvement system (e.g., QRIS) without further review
☐ Other. Describe ▒▒▒▒▒
☒ None

3.3.5 – Element 5 - Outreach and Consumer Education

Definition – For purposes of this section, outreach and consumer education refers to the strategies used to promote the child care quality improvement standards to parents, programs and the general public.

a) Does the State/Territory use symbols or simple icons to communicate levels of quality for child care programs beyond what may communicated to parents about licensing status and licensing compliance as reported in 3.1.3? (e.g. stars, or gold/silver/bronze levels).

☐ Yes. If yes, how is it used?
    ☐ Resource and referral/consumer education services use with parents seeking care
    ☐ Parents enrolling in child care subsidy are educated about the system and the quality level of the provider that they are selecting
    ☐ Searchable database on the web
    ☐ Voluntarily, visibly posted in programs
    ☐ Mandatory to post visibly in programs
    ☐ Used in marketing and public awareness campaigns
    ☐ Other. Describe ▒▒▒▒▒
☒ No. If no, skip to 3.3.6.
The Lead Agency is developing a Quality Rating and Improvement system that will communicate levels of quality for child care programs. The QRIS indicator is stars.

b) Does the State/Territory use any forms of media to reach parents and the public to communicate about levels of quality for child care programs? Check

which forms, if any, the State/Territory uses to communicate levels of quality for child care programs.

☐ Print
☐ Radio
☐ Television
☐ Web
☐ Telephone
☐ Social Marketing
☐ Other. Describe �____
☐ None

c) Describe any targeted outreach for culturally and linguistically diverse families. �____

3.3.6. Quality Rating and Improvement System (QRIS)

a) **Based on the five key elements of a QRIS described above in 3.3.1 through 3.3.5,** does your State/Territory have a quality rating and improvement system (QRIS) or similar quality improvement system in place?

☐ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements <u>operating State/Territory-wide</u>.
  ☐ Participation is voluntary for _____
  ☐ Participation is mandatory for _____
☐ Yes, the State/Territory has a QRIS or similar quality improvement system that includes linked activities in all five elements <u>operating as a pilot or in a few localities</u> but not State/Territory-wide.
☒ No, the State/Territory does not have a QRIS or similar quality improvement system that includes linked activities in all five elements.
  ☒ State/Territory is in the development phase
  ☐ State/Territory has no plans for development
☐ Other. Describe �____

b) If yes to 3.3.6a, **CHECK** the types of providers eligible to participate in the QRIS:

☐ Child care centers
☐ Group child care homes
☐ Family child care homes
☐ In-home child care
☐ License exempt providers
☐ Early Head Start programs
☐ Head Start programs
☐ Pre-kindergarten programs
☐ School-age programs
☐ Other. Describe �____

3.3.7. If the State/Territory has or will have any quality improvement

strategies for targeted groups of providers (e.g., relative caregivers or caregivers who are legally exempt from licensing) that are not described in your responses to any question in section 3.3 above, please describe

The Kids and Kin project, in partnership with the Family Guidance Center of Alabama, addresses the needs of children in relative care and promotes strategies to increase the quality of care provided by relatives.

The Lead Agency has developed the child care center standards for Alabama's Quality Rating and Improvement System. Exempt from licensure providers who have received national accreditation will be eligible to participate in the QRIS.

3.3.8 Data & Performance Measures on Program Quality – What data elements, if any, does the State/Territory currently have access to related to the quality of programs? What, if any, does the State/Territory use for performance measures on program quality improvement? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children).

a) **Data on program quality**. Indicate if the Lead Agency or another agency has access to data on:

☐ Data on the quality level for individual programs (e.g. QRIS level) as defined by your State/Territory. Describe _____

☐ Number of programs that move program quality levels annually (up or down). Describe _____

☒ Program scores on program assessment instruments. List instruments:
Family Daycare Environmental Rating Scale
Describe:
Family and Group Child Care homes participating in the Family Child Care Partnership initiative are assessed using the FCCRS. The Family Child Care Partnership initiative assist family child care providers to raise the quality of child care services they deliver, with a focus on moving them toward accreditation.

☐ Classroom scores on program assessment instruments. List instruments: _____ Describe _____

☐ Qualifications for teachers or caregivers with in each program. Describe _____

☒ Number/Percentage of children receiving CCDF assistance in licensed care. Describe
The Lead Agency maintains this data through the Child Care Subsidy Program data system.

☐ Number/percentage of children receiving CCDF assistance who

attend care at each of the tiers of the quality as defined by the State/Territory

☒ Number/Percentage of programs receiving financial assistance to meet higher program standards. Describe: **The Lead Agency maintains this data for provider that participate in Lead Agency funded accreditation initiatives.**

☐ Other. Describe ▒▒▒▒▒

☐ None

b) **Performance measurement**. What, if any, are the Lead Agency's performance measures on program quality?

The following performance measures are used:
- **Number of Participants and Programs Reached by program quality initiatives.**
- **Number of technical assistance visits provided and type of provider setting receiving technical assistance visits.**
- **Impact of professional development initiatives on quality indicators such as:**
  - **Business and Management Skills**
  - **Child Development**
  - **Health and Safety**
  - **Inclusion**
  - **Ongoing Training to Meet Minimum Standards**
  - **Parent Involvement**

c) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to program quality? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

The Lead Agency plans for evaluation include:

Monitoring of the implementation of the QRIS system for center child care providers;

All Lead Agency funded quality training activities are evaluated using a pre- and post-test of participant knowledge and understanding. In addition, Quality Enhancement contractors are required to submit quarterly status reports that include information regarding training, consultations, technical assistance, and other quality activities. The evaluations have indicated increased participation by all categories of providers in quality training and a general increase in participant knowledge and understanding of child care best practices.

3.3.9 Goals for the next Biennium - What are the State/Territory's goals for the program quality improvement system in the coming biennium? What progress does the State/Territory expect to make across the five key elements for quality improvement systems?

The Lead Agency's goals for program quality improvement for the next Biennium are:
- **Implement a pilot of the Quality Rating and Improvement System with center child care providers.**

- **Develop QRIS standards for family and group day care home providers.**

3.4 Pathways to Excellence for the Workforce – Professional Development Systems and Workforce Initiatives (Component #4)

Pathways to excellence for the workforce builds on the significant investments States and Territories have made in the area of professional development systems to ensure a well-qualified workforce with opportunities for growth from entry level through master teacher, with an increasing emphasis on the many additional roles in the child care system (e.g. adult educators such as consultants, technical assistance providers, trainers, and higher education faculty). In this section, States and Territories provide a self-assessment on current professional development and workforce activities and describe their goals for the upcoming Biennium.

For purposes of this section, States and Territories will respond according to five key elements for workforce systems:

1) Core Knowledge and Competencies
2) Career Pathways (or Career Lattice)
3) Professional Development Capacity
4) Access to Professional Development
5) Compensation, Benefits and Workforce Conditions

a) Describe which entities are involved in planning and administering the activities in Section 3.4, including State/Territory entities and local or community level entities.
The Alabama Professional Development Team makes recommendation and assists in planning of Professional Development system. The Lead Agency implements initiatives around professional development in Partnership with local Quality Enhancement Agencies. See Attachment 3.4 for a list of APDT members and Attachment 3.4a for list of Quality Enhancement Agencies.

3.4.1 Workforce Element 1 - Core Knowledge and Competencies

Definition – For purposes of this section, core knowledge and competencies (CKCs) refers to the expectations for what the workforce should know (content) and be able to do (skills) in their role working with and/or on behalf of children and their families. These CKCs provide a foundation for professional development design (including instructional practices) and other quality improvement efforts.

a) Has the State/Territory developed core knowledge and competencies (CKCs) for practitioners working with and/or on behalf of children?

☒ Yes
☐ No, the State/Territory has not developed core knowledge and competencies. Skip to question 3.4.2.
☐ Other. Describe ▓▓▓▓

If yes, insert web addresses, where possible:
www.dhr.alabama.gov
Alabama Pathways to Quality Care and Education

b) Check which of the following teaching and learning topics, if any, are covered in the CKCs.

☒ Child growth, development and learning
☒ Health, nutrition, and safety
☒ Learning environment and curriculum
☒ Interactions with children
☒ Family and community relationships
☒ Professionalism and leadership
☒ Observation and assessment
☒ Program planning and management
☒ Diversity
☐ Other. Describe _____
☐ None

c) Are the CKCs incorporated into other parts of the child care system? Check which ways, if any, the State/Territory incorporates its CKCs into other parts of the child care system.

☒ To define the content of training required to meet licensing requirements
☐ To define the content of training required for program quality improvement standards (as reported in section 3.3)
☒ To define the content of training required career lattice or credential
☒ To correspond to the early learning guidelines
☐ To define curriculum and degree requirements at institutions of higher education
☐ Other. Describe _____
☐ None

d) Are the CKCs aligned with other State/Territory or national standards? Check which ways, if any, the State/Territory aligns its CKCs with other standards.

☒ Cross-walked with the Child Development Associate (CDA) competencies
☐ Cross-walked with national teacher preparation standards (e.g., NAEYC standards for early childhood professional preparation, National Board of Professional Teaching Standards, Head Start SOLAR staff skills indicators)
☐ Cross-walked with apprenticeship competencies
☒ Other. Describe
Cross-walked with Alabama Pre-k Standards, K-12 Content Standards and Head Start Outcomes.

☐ None

e) Check for which roles, if any, the State/Territory developed supplemental or specialized competencies.

☐ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____
☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____
☐ Administrators in centers (including educational coordinators, directors). Describe _____
☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____
☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____
☐ Other. Describe _____
☒ None

f) Check if the State/Territory has developed any supplemental or specialized competencies for practitioners/providers working with the following ages.

☐ Birth-to-three
☐ Three-to-five
☐ Five and older
☐ Other. Describe _____
☒ None

3.4.2 Workforce Element 2 - Career Pathways

Definition – For purposes of this section, career pathways (or career lattice) defines the options and sequence of qualifications and ongoing professional development to work with children. Career pathways assist professionals in understanding their career options and identify steps for advancement for the workforce recognizing and rewarding higher levels of preparation and mastery of practice to promote higher quality services for children.

a) Does the State/Territory have a career pathway which defines the sequence of qualifications related to professional development (education, training and technical assistance) and experience required to work with children?

☒ Yes. Describe _____
☐ No, the State/Territory has not developed a career pathway. Skip to question 3.4.3.

Insert web addresses, where possible: **Alabama Pathways to Quality care and Education www.dhr.alabama.gov.**

b) Check for which roles, if any, the career pathways include qualifications, specializations or credentials.

- ☒ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____
- ☒ Providers working directly with children in family child care homes, including aides and assistants. Describe _____
- ☒ Administrators in centers (including educational coordinators, directors). Describe: **Center Directors**
- ☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____
- ☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____
- ☐ Other. Describe _____
- ☐ None

c) Does the career pathways (or lattice) include specializations or credentials, if any, for working with any of the following children?

- ☐ Infants and toddlers
- ☐ Preschoolers
- ☐ School-age children
- ☐ Dual language learners
- ☐ Children with disabilities, children with developmental delays, and children with other special needs
- ☐ Other. Describe _____
- ☒ None

d) In what ways, if any, is the career pathway (or lattice) used?

- ☒ Voluntary guide and planning resource
- ☐ Required placement for all practitioners and providers working in programs that are licensed or regulated in the State/Territory to serve children birth to 13
- ☐ Required placement for all practitioners working in programs that receive public funds to serve children birth to 13
- ☐ Required placement for adult educators (i.e., those that provide training, education and/or technical assistance)
- ☐ Required placement for participation in scholarship and/or other incentive and support programs
- ☐ Required placement for participation in the QRIS or other quality improvement system
- ☐ Other. Describe _____
- ☐ None

e) Are individuals' qualifications, professional development, and work experience verified prior to placement on the career pathway (or lattice?)?

☐ Yes. If yes, describe ▬▬▬▬
☐ No

3.4.3 Workforce Element 3 – Professional Development Capacity

Definition – For purposes of this section, professional development incorporates higher education, training and technical assistance. Higher education capacity refers to capability of the higher education system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children. Training and technical assistance capacity refers to capability of the training and technical assistance system to meet the needs of the diverse workforce including the provision of content that addresses the full range of development and needs of children.

a) Has the State/Territory assessed the availability of degree programs in early-childhood education, school-age care or youth development, and related fields in the State/Territory (e.g., both physical location and distance-based, accessibility to practitioners, etc.)?

☒ Yes. If yes, describe ▬▬▬▬
☐ No

b) Has the State/Territory assessed the availability of early-childhood and school-age and related training and technical assistance programs in the State/Territory (e.g., both physical location and distance-based, degree level, etc.)?

☒ Yes. If yes, describe ▬▬▬▬
☐ No

c) What quality assurance mechanisms, if any, are in place for the degree programs and courses offered by the State/Territory institutions?

☒ Standards set by the institution
☒ Standards set by the State/Territory higher education board
☒ Standards set by program accreditors
☐ Other. Describe ▬▬▬▬
☐ None

d) What quality assurance mechanisms, if any, are in place for the training and technical assistance programs offered by the State/Territory?

☐ Training approval process. Describe ▬▬▬▬
☐ Trainer approval process. Describe ▬▬▬▬
☐ Training and/or technical assistance evaluations. Describe ▬▬▬▬
☐ Other. Describe ▬▬▬▬
☒ None

e) Does the State/Territory have articulation agreements in place across and within institutions of higher education?

☒ Yes. If yes, describe:
Articulation agreements are within institutions of higher education. Most are local agreements but also there is articulation between the Alabama College System (2-year colleges) and the University of Alabama (the state's largest 4-year university) to accept child development course work obtained at an institution in the Alabama Community College System.
☐ No

f) Does the State/Territory have articulation agreements that translate training and/or technical assistance into higher education credit?

☒ Yes. If yes, describe:
Some Alabama Community College System institutions accept the CDA credential including 120 training hours for entry level child development programs.
☐ No

3.4.4 Workforce Element 4 – Access to Professional Development

Definition – For purposes of this section, access to professional development (training, education and technical assistance) refers to the degree to which practitioners are made aware of, and receive supports and assistance to utilize, professional development opportunities.

a) Does the State/Territory have professional development opportunities accessible for professionals in various or all sectors of the early childhood and school-age field?

☒ Yes. If yes, for which sectors?
☒ Child care
☒ Head Start/Early Head Start
☒ Pre-Kindergarten
☒ Public schools
☒ Early intervention/special education
☐ Other. Describe _____
☐ No

b) Does the State/Territory have a State/Territory-wide, coordinated and easily accessible clearinghouse of information about professional development opportunities available to all members of the early childhood and school-age workforce? Lead Agencies are not required to have a professional development system, but States/Territories may develop such clearinghouses to promote access to professional development opportunities.

☒ Yes. If yes, describe:

Comprehensive Quality Enhancement Agencies maintain information about professional development opportunities and the Lead agency has links or calendar of the opportunities on the Agency webpage.

☐ No

Insert web addresses, where possible: ▭

c) What supports, if any, does the State/Territory provide to promote access to training and education activities?

☒ Scholarships. Describe ▭
☒ Free training and education. Describe ▭
☐ Reimbursement for training and education expenses. Describe ▭

☐ Grants. Describe ▭
☐ Loans. Describe ▭
☐ Loan forgiveness programs. Describe ▭
☒ Substitute pools. Describe ▭
☒ Release time. Describe ▭
☐ Other. Describe ▭
☐ None

d) Does the State/Territory have career advisors for early childhood and school-age practitioners?

☐ Yes. If yes, describe ▭
☒ No

e) Does the State/Territory have mentors, coaches, consultants, and/or other specialists available to provide technical assistance to the workforce?

☒ Yes. If yes, describe ▭
☐ No

3.4.5 Workforce Element 5- Compensation, Benefits and Workforce Conditions

Definition – For purposes of this section, rewards for education and training refers to any financial supports provided to practitioners for participating in and completing education or training or for increasing compensation.

a) Does the State/Territory have a salary or wage scale for various professional roles?

☐ Yes. If yes, describe ▭
☒ No

b) Does the State/Territory provide financial rewards for participation in professional development, such as one-time salary bonuses for completing a training or education program?

☒ Yes. If yes, describe

The Lead Agency contracts with the Alabama Partnership for Children (APC) to implement the T.E.A.C.H scholarship. The Program awards bonuses for participates who complete T.E.A.C.H. educational goals.

☐ No

c) Does the State/Territory provide sustained financial support on a periodic, predictable basis, such as annual wage supplements, based on the highest level of training and education achieved?

☐ Yes. If yes, describe _____

☒ No

d) Does the State/Territory have a program to offer or facilitate benefits (e.g. health insurance coverage, retirement, etc.) to the workforce?

☐ Yes. If yes, describe _____

☒ No

3.4.6 Data & Performance Measures on the Child Care Workforce – What data elements, if any, does the State/Territory currently have access to related to the child care workforce? What, if any, does the State/Territory use for performance measures on professional development and workforce initiatives? The purpose of these questions is for Lead Agencies to provide a description of their capacity to provide information, not to require Lead Agencies to collect or report this information. For any data elements checked, Lead Agencies may choose to describe for whom they access to these data on such as only licensed programs, only programs caring for children receiving CCDF subsidies, only providers participating in quality improvement systems, or only for certain age groups (infants and toddlers or school-age children).

a) **Data on the child care workforce**. Indicate if the Lead Agency or another agency has access to data on:

☐ Data on the size of the child care workforce. Describe (optional) _____

☐ Data on the demographic characteristics of practitioners or providers working directly with children. Describe (optional) _____

☐ Records of individual teachers or caregivers and their qualifications. Describe (optional) _____

☐ Retention rates. Describe (optional) _____

☐ Records of individual professional development specialists and their qualifications. Describe (optional) _____

☐ Qualifications of teachers or caregivers linked to the programs in

which they teach. Describe (optional) �_____

☒ Number of scholarships awarded . Describe (optional) _____

☒ Number of individuals receiving bonuses or other financial rewards or incentives. Describe (optional) _____

☒ Number of credentials and degrees conferred annually. Describe (optional) _____

☐ Data on T/TA completion or attrition rates. Describe (optional) _____

☒ Data on degree completion or attrition rates. Describe (optional) _____

☐ Other. Describe _____

☐ None

c) Does the State/Territory have a workforce data system, such as a workforce registry, which tracks workforce demographics, compensation, and qualifications and ongoing professional development for practitioners working with children birth to age 13?

Definition– For purposes of this section, a workforce data system refers to a system, such as a workforce registry, that tracks the size and characteristics of the child care workforce, including longitudinal data to monitor changes over time. The data system also can produce records to validate and verify qualifications or ongoing professional development for licensing, accreditation, QRIS, wage incentives, and credentials.

☐ Yes.

b-1) If yes, which roles are included in the workforce data system? For each role checked, indicate in your description whether participation is voluntary or mandatory.

☐ Staff working directly with children in centers, including aides, assistants, teachers, master teachers. Describe _____

☐ Providers working directly with children in family child care homes, including aides and assistants. Describe _____

☐ Administrators in centers (including educational coordinators, directors). Describe _____

☐ Technical assistance providers (including mentors, coaches, consultants, home visitors, etc.). Describe _____

☐ Education and training staff (such as trainers, CCR&R staff, faculty). Describe _____

☐ Other. Describe _____

☐ None

b-2) Does the workforce data system apply to:

☐ all practitioners working in programs that are licensed

or regulated by the State/Territory to serve children birth to 13?

☐ all practitioners working in programs that receive public funds to serve children birth to age 13?

⊠ No

c) **Performance measurement**. What, if any, performance measures does the State/Territory use related to its workforce and professional development systems?

The following performance measures are used:
- **Number of Participants and Programs Reached by the professional development initiatives.**
- **Number of technical assistance visits provided and type provider setting receiving technical assistance visits.**
- **Impact of professional development initiatives on quality indicators such as:**
  - **Business and Management Skills**
  - **Child Development**
  - **Health and Safety**
  - **Inclusion**
  - **Ongoing Training to Meet Minimum Standards**
  - **Parent Involvement**

d) **Evaluation**. What, if any, are the State/Territory's plans for evaluation related to its workforce and professional development systems? Evaluation can include efforts related to monitoring implementation of an initiative, validation of standards or assessment tools, or looking at outcomes in programs or the system and may be ongoing or conducted periodically.

The Lead Agency plans for evaluation include:

Monitoring of implementation of QRIS system for center providers;

Ongoing monitoring of Early Learning Guidelines training; and,

All Lead Agency quality training activities are evaluated using a pre- and post-test of participant knowledge and understanding. In addition, Quality Enhancement contractors are required to submit quarterly status reports that include information regarding training, consultations, technical assistance, and other quality activities. The evaluations have indicated increased participation by all categories of providers in quality training and a general increase in participant knowledge and understanding of child care best practices.

3.4.7 Goals for the next Biennium - What are the State/Territory's goals for the building the professional development system and improving conditions for the workforce in the coming biennium? What progress does the State/Territory expect to make across the five key elements for the workforce and professional development system described above?

The Lead Agency goals for the next Biennium are:
- **Develop a Trainer Registry for the Alabama Professional Development System (*Alabama Pathways*)**

CHILD CARE AND DEVELOPMENT FUND PLAN FOR: _____
FOR THE PERIOD: 10/1/11 – 9/30/12

Lead Agencies are required to request approval from Administration for Children and Families (ACF) whenever a "substantial" change in the Lead Agency's approved CCDF plan occurs. Please refer to the ACF Program Instruction regarding CCDF Plan amendments for more information
http://www.acf.hhs.gov/programs/ccb/law/guidance/current/pi2009-01/pi2009-01.htm

Plan amendments must be submitted to ACF within 60 days of the effective date of the change. Under the regulation, the plan amendment must be approved no later than the 90th day following the date on which the amendment is received by ACF unless the Lead Agency and ACF mutually agree in writing to extend the period. (§98.18 (b)).

ACF encourages Lead Agencies to contact the Child Care program staff in the appropriate ACF Regional Office to discuss any proposed amendment as early as possible.

Instructions for Submitting Amendments:

Complete the first 3 columns of the Amendment Log and send a copy of the Log (showing the latest amendment sent to ACF) and the amended section(s) to the ACF Regional Office contact. Lead Agency also should indicate the Effective Date of the amended section in the footer at the bottom of the amended page(s). A copy of the Log, showing the latest amendment pending in ACF, is retained as part of the Lead Agency's Plan.

ACF will complete column 4 and returns a photocopy of the Log to the grantee following its review and approval of the amendment. The Lead Agency replaces this page in the Plan with the copy of the Log received from ACF showing the approval date.

Note: This process depends on repeated subsequent use of the same Log page over the life of the Plan. At any time the Log should reflect all amendments, both approved and pending in ACF. The Lead Agency is advised to retain "old" plan pages that are superseded by amendments in a separate appendix to its Plan. This is especially important as auditors will review CCDF Plans and examine effective date of changes.

SECTION AMENDED	EFFECTIVE/ PROPOSED EFFECTIVE DATE	DATE SUBMITTED TO ACF	DATE APPROVED BY ACF

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│                                                             │
│                       Appendix 1                            │
│                                                             │
│                Quality Performance Report                   │
│   (This Report will be complete by the Lead Agency in       │
│            Year 2 of the CCDF Plan cycle)                   │
│                                                             │
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The purpose of this annual report is to capture State/Territory progress on improving the quality of child care. Specifically, this report will:

- Provide a national assessment of State's and Territory's progress toward improving the quality of child care, including a focus on program quality and child care workforce quality;
- Track State's and Territory's annual progress toward meeting high quality indicators and benchmarks, including those that they set for themselves in their CCDF Plans and those that are of interest to the U.S. Department of Health and Human Services in measuring CCDF program performance;
- Assist national and State/Territory technical assistance efforts to help States/Territories make strategic use of quality funds; and
- Assist with program accountability and compliance efforts tied to quality investments.

This report collects data in relation to the four components of child care quality used as a quality framework in Part 3 of the Child Care and Development Fund Plan for FY 2012-2013:

1. Ensuring health and safety of children through licensing and health and safety standards
2. Establishing early learning guidelines
3. Creating pathways to excellence for child care programs through program quality improvement activities
4. Creating pathways to an effective, well-supported child care workforce through professional development systems and workforce initiatives.

Lead Agencies are asked to provide the status on the State/Territory's progress in meetings its goals as reported in the FY 2012-2013 CCDF Plan, and provide data on the results of those activities. Because of the flexibility in administering the CCDF program, it is expected that Lead Agencies may not have information and data available to respond to all questions. At a minimum, Lead Agencies are expected to report on their progress toward meeting the goals articulated in the CCDF Plan for this Biennium. Lead Agencies may provide narrative updates in the data sections, including any plans for reporting data in the future, if actual data is not currently available.

This annual report will be submitted to ACF no later than December 31, 2012 and the first submittal will reflect the period October 1, 2011 through September 30, 2012.

Ensuring the Health and Safety of Children (Component #1)

In this section, Lead Agencies provide information on the minimum health and safety standards and activities in effect over the past year as of September 30, 2012.

A1.1 Progress on Overall Goals

Based on the goals described in the Lead Agency's CCDF Plan at Section 3.1.7, please report your progress using the chart below. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., revised licensing regulation to include elements related to SIDS prevention, Lowered caseload of licensing staff to 1:50, or increased monitoring visits to twice annually for child care centers). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

Note: If your licensing standards changed during this period, please provide a brief summary of the major changes and submit the updated regulations to the National Resource Center for Health and Safety in Child Care (www.nrckids.org.)

A1.2 Key Data

A1.2.1 Number of licensed programs

> a) How many licensed center-based programs operated in the State/Territory as of September 30, 2012? _____ or ☐ Data not available

> b) How many licensed home-based programs operated in the State/Territory as of September 30, 2012? _____ or ☐ Data not available

> c) Does the State/Territory have data on the number or percentage of programs (i.e., paid care provided on a regular basis by an unrelated caregiver outside of the child's own home) operating in the State/Territory are subject to licensing regulations?

>> ☐ Yes. If yes, include the number/percentage of programs and describe _____
>> ☐ No

A1.2.2 What percentage of programs received monitoring visits, and at what frequency, for each provider category during the last fiscal year?

a) What percentage of licensed center-based programs were visited as of the end of the last fiscal year? _____ What was the average number of visits?

_____

b) What percentage of licensed family child care programs were visited as of the end of the last fiscal year? _____ What was the average number of visits?

_____

c) What percentage of legally exempt providers, receiving CCDF were visited as of the end of the last fiscal year? _____ What was the average number of visits? _____

☐ Data not available

A1.2.3 How many programs had their licenses suspended or revoked due to licensing violations as defined in your State/Territory during the last fiscal year?

	Suspended	**Revoked**
Licensed Centers		
Licensed Homes		
☐ Data not available		

A1.2.4 How many programs were terminated from participation in CCDF subsidies due to failure to meet licensing or minimum CCDF health and safety requirements during the last fiscal year?

Child Care Centers _____
Group Child Care Homes _____
Family Child Care Homes _____
In-Home Providers _____
☐ Data not available

A1.2.5 How many previously license-exempt providers were brought under the licensing system during the last fiscal year? _____

A1.2.6 How many injuries as defined by the State/Territory occurred in child care during the last year? Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

A1.2.6 How many fatalities occurred in child care as of the end of the last year? Please indicate the universe of programs on which the number is based (e.g., licensed providers, CCDF providers, or all providers). _____

Establishing Early Learning Guidelines (Component #2)

A2.1 Progress on Overall Goals

A2.1.1 Did the State/Territory make any changes to its voluntary early learning guidelines (including guidelines for school-age children) as reported in 3.2 during the last fiscal year?

☐ Yes. Describe _____
☐ No

A2.1.2 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.2.8, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs trained on using the ELG's, Aligned the ELG's with Head Start Outcomes Framework). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A2.2 Key Data

A2.2.1 How many programs were trained on early learning guidelines (ELG's) or standards over the last fiscal year?

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's
How many center-based programs were trained on ELG's over the past year?	_____	_____	_____
How many children are served in program implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____
How many family child care programs were trained on ELG's over the past year?	_____	_____	_____
How many children are served in program implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)	_____	_____	_____
How many legally exempt providers were trained on ELG's over the past year?	_____	_____	_____
How many children are served in programs	_____	_____	_____

Provider Categories	Birth to Three ELG's	Three-to-Five ELG's	Five and Older ELG's
implementing the ELG's? Separate by age group if possible (e.g., infants and toddlers, preschoolers, school-age children)			
☐ Data not available			

Pathways to Excellence for Child Care Programs through Program Quality Improvement Activities (Component #3)

A3.1 Progress on Overall Goals

A3.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.3.9, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Expanded the number of programs included in the QRIS, Aligned the QRIS standards with Head Start performance standards, or expanded the number of programs with access to an on-site quality consultant). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A3.2 Key Data

A3.2.1 How many programs received targeted technical assistance in the following areas during the last fiscal year?
        Health and safety _____
        Infant and toddler care _____
        School-age care _____
        Inclusion _____
        Teaching dual language learners _____
        Understanding developmental screenings and/or observational assessment tools for program improvement purposes _____
        Mental health _____
        Business management practices _____
        ☐ Data not available

A3.2.2 How many programs received financial support to achieve and sustain quality during the last fiscal year?
        a) One-time, grants, awards or bonuses:
                Child Care Centers _____

Family Child Care Homes _____
☐ Data not available

b) On-going or Periodic quality stipends:
Child Care Centers _____
Family Child Care Homes _____
☐ Data not available

A3.2.3 What is the participation rate (number and percentage) in the State/Territory QRIS or other quality improvement system for programs over the last fiscal year? When reporting the percentages, please indicate the universe of programs on which the percentage is based (e.g., licensed providers, CCDF providers, or all providers).

Child Care Centers QRIS _____ or Other Quality Improvement System _____

Family Child Care Homes QRIS _____ or Other Quality Improvement System _____
License-Exempt Providers QRIS _____ or Other Quality Improvement System _____
☐ Data not available

A3.2.4 How many programs moved up or down within the QRIS or achieved another quality threshold established by the State/Territory over the last fiscal year? If quality threshold is something other than QRIS, describe the metric used, such as accreditation.

Child Care Centers _____
Family Child Care Homes _____
License-Exempt Providers _____
☐ Data not available

A3.2.5 How many programs are at each level of quality? Describe metric if other than QRIS, such as accreditation.

Child Care Centers _____
Family Child Care Homes _____
License-Exempt Providers _____
☐ Data not available

A3.2.6 What percentage of CCDF subsidized children were served in a program participating in the State or Territory's quality improvement system during the last fiscal year? What percentage are in high quality care as defined by the State/Territory? **Note.** If the State/Territory does not have a formal QRIS, the State/Territory may define another quality indicator and report it here.

Percentage of CCDF children served in participating programs
Percentage of CCDF children served in high quality care   (May define with assessment scores, accreditation, or other metric, if no QRIS.)
☐ Data not available

Pathways to Excellence for the Child Care Workforce: Professional Development Systems and Workforce Initiatives (Component #4)

A4.1 Progress on Overall Goals

A4.1.1 Based on the goals described in the Lead Agency's CCDF Plan at Section 3.4.7, please report your progress. You may include any significant areas of progress that that were not anticipated in the Plan, as well. For each goal listed, briefly describe the improvement with specific examples or numeric targets where possible (e.g., Implement a wage supplement program, Develop articulation agreements). If applicable, describe any barriers to implementing your planned goals.

Goals Described in FY 2012-2013 CCDF Plan	Describe Progress – Include Examples and Numeric Targets where Possible

A4.2 Key Data

A4.2.1 How many teachers/caregivers had the following qualifications as of the end of the last fiscal year?

	Child Care Center Teachers	Family Child Care Providers
Child Development Associate (CDA)		
State/Territory Credential		
Associate's degree		
Bachelor's degree		
Graduate/Advanced degree		
☐ Data not available		

A4.2.2 How many teachers/caregivers were included in the State/Territory's professional development registry during the last fiscal year?

Staff in child care centers _____
Family child care home providers _____
License-exempt practitioners _____
☐ Data not available

A4.2.3 How many teachers/caregivers received credit-based training and/or education as defined by the State/Territory during the last fiscal year?

        Staff in child care centers _____
        Family child care home providers _____
        License-exempt practitioners _____
        ☐ Data not available

A4.2.4 How many credentials and degrees were awarded during the last fiscal year? If possible, list the type of credential or degree and in what type of setting the practitioner worked.

Setting	Type of Credential	Type of Degree
Staff in child care centers	List and provide number	List and provide number
Family child care home providers	List and provide number	List and provide number
License-exempt practitioners	List and provide number	List and provide number
☐ Data not available		

A4.2.5 How many teachers or other professionals received technical assistance such as coaching, mentoring or consultation during the last fiscal year? Describe any data you track on coaching, mentoring, or specialist consultation. If possible, include in what type of setting the practitioner worked.

Setting	Type of Technical Assistance
Staff in child care centers	List and provide number
Family child care home providers	List and provide number
License-exempt practitioners	List and provide number
☐ Data not available	

A4.2.6 What financial supports were funded over the past fiscal year to support teachers and caregivers in meeting and maintaining standards and qualifications as of the end of the last fiscal year?

        ☐ Scholarships. How many teachers received? _____
        ☐ Reimbursement for Training Expenses. How many teachers received? _____
        ☐ Loans. How many teachers received? _____
        ☐ Wage supplements. How many teachers received? _____
        ☐ Other. Describe _____
        ☐ Data not available

APPENDIX 2

CCDF PROGRAM ASSURANCES AND CERTIFICATIONS

The Lead Agency, named in Part 1 of this Plan, assures (§98.15) that:

(1)   upon approval, it will have in effect a program that complies with the provisions of the Plan printed herein, and is administered in accordance with the Child Care and Development Block Grant Act of 1990 as amended, Section 418 of the Social Security Act, and all other applicable Federal laws and regulations. (658D(b), 658E(a))

(2)   the parent(s) of each eligible child within the State who receives or is offered child care services for which financial assistance is provided is given the option either to enroll such child with a child care provider that has a grant or contract for the provision of the service; or to receive a child care certificate. (658E(c)(2)(A)(i))

(3)   in cases in which the parent(s) elects to enroll the child with a provider that has a grant or contract with the Lead Agency, the child will be enrolled with the eligible provider selected by the parent to the maximum extent practicable. (658E(c)(2)(A)(ii))

(4)   the child care certificate offered to parents shall be of a value commensurate with the subsidy value of child care services provided under a grant or contract. (658E(c)(2)(A)(iii))

(5)   with respect to State and local regulatory requirements, health and safety requirements, payment rates, and registration requirements, State or local rules, procedures or other requirements promulgated for the purpose of the Child Care and Development Fund will not significantly restrict parental choice among categories of care or types of providers. (658E(c)(2)(A), §98.15(p), §98.30(g), §98.40(b)(2), §98.41(b), §98.43(c), §98.45(d))

(6)   that children receiving services under the CCDF are age-appropriately immunized, and that the health and safety provisions regarding immunizations incorporate (by reference or otherwise) the latest recommendation for childhood immunizations of the State public health agency. (§98.41(a)(1))

(7)   that CCDF Discretionary funds are used to supplement, not supplant, State general revenue funds for child care assistance for low-income families. (P.L. 109-149)

The Lead Agency also certifies that:

(1)   it has procedures in place to ensure that providers of child care services for which assistance is provided under the Child Care and Development Fund afford parents unlimited access to their children and to the providers caring for their children during the normal hours of operations and whenever such children are in the care of such providers. (658E(c)(2)(B))

(2) it maintains a record of substantiated parental complaints and makes information regarding such complaints available to the public on request. (658E(c)(2)(C))

(3) it will collect and disseminate to parents of eligible children and the general public consumer education information that will promote informed child care choices. (658E(c)(2)(D))

(4) it has in effect licensing requirements applicable to child care services provided in the State. (658E(c)(2)(E))

(5) there are in effect within the State (or other area served by the Lead Agency), under State or local law, requirements designed to protect the health and safety of children; these requirements are applicable to child care providers that provide services for which assistance is made available under the Child Care and Development Fund. (658E(c)(2)(E))

(6) procedures are in effect to ensure that child care providers of services for which assistance is provided under the Child Care and Development Fund comply with all applicable State or local health and safety requirements. (658E(c)(2)(G))

(7) payment rates under the Child Care and Development Fund for the provision of child care services are sufficient to ensure equal access for eligible children to comparable child care services in the State or sub-State area that are provided to children whose parents are not eligible to receive assistance under this program or under any other Federal or State child care assistance programs. (658E(c)(4)(A))

CCDF Regulations 45 CFR §98.13(b)(2)-(6) require the following certifications.

1. **Assurance of compliance with Title VI of the Civil Rights Act of 1964:**
   http://www.hhs.gov/forms/HHS690.pdf

2. **Certification regarding debarment:**
   http://www.acf.hhs.gov/programs/ofs/grants/debar.htm

3. **Definitions for use with certification of debarment:**
   http://www.acf.hhs.gov/programs/ofs/grants/debar.htm

4. **HHS certification regarding drug-free workplace requirements:**
   http://www.acf.hhs.gov/programs/ofs/grants/drugfree.htm

5. **Certification of Compliance with the Pro-Children Act of 1994:**
   http://www.acf.hhs.gov/programs/ofs/grants/tobacco.htm

6. **Certification regarding lobbying:**
   http://www.acf.hhs.gov/programs/ofs/grants/lobby.htm

These certifications were obtained in the 1997 Plan and need not be collected again if there has been no change in Lead Agency. If the there has been a change in Lead Agency, these certifications must be completed and submitted with the Plan.

Attachment 1.4.1
Child Care Citizens' Coordinating Committee

Dr. Cary Boswell, Commissioner
Alabama Department of Rehabilitation Services
Representative: Ms. Vickie Mastin

Mrs. Sophia Bracy Harris, Executive Director
Federation of Child Care Centers of Alabama

Mrs. Leslie Buchanan, President
Alabama Association of Licensed Early Care and Education
Representative: Ms. Wendi Daversa

Dr. Calvin Moore, President
Alabama Head Start Association

Dr. Marquita Davis, Commissioner
Alabama Department of Children's Affairs

Mrs. Mary Davis, Executive Director
 Childcare Resources Network

Mrs. Virginia Frazer, Secretary/Program Assistant
Leadership in Child Care Scholarship
Alabama Department of Postsecondary Education

Mr. Kimble Forrister, Executive Director
Alabama Arise

Mr. Richard Hardison, President
Alabama Association for Young Children
Representative: Mrs. Kimberly Berry

Ms. Kelli Hill
Child and Youth Services Specialist
Alabama National Guard

Mr. John Houston, Commissioner
Alabama Department of Mental Health
Representative: Mrs. Alice Widgeon

Mrs. Margaret Jackson
Family Day Care Home Provider

Ms. Kay Jennings, Executive Director
Talladega-Clay Randolph Child Care Corporation

Ms. Elizabeth Johnson, Owner/Licensee
Precious Memories Child Care Center

Mr. Robin Mears, Executive Director
Alabama Christian Education Association

Joseph B. Morton, Ph.D.
State Superintendent of Education
Alabama Department of Education
Representative: Ms. Sallye Longshore

Mr. Paul Morton
Youth Program Specialist
Operation: Military Kids

Ms. Margaret (Marge) Peterson, President
Alabama Family Child Care Association

Ms. Gail Piggott, Executive Director
Alabama Partnership for Children

Mr. Scott Pilgreen, Assistant State Fire Marshall
Alabama Department of Insurance

1. Ms. Denise Raines, Director
Dekalb County DHR

Mrs. Linda Tilly, Executive Director
VOICES for Alabama's Children

Ms. Carolyn White, Family Services Coordinator
Poarch Band of Creek Indians

Donald Williamson, M.D.
State Health Officer
Alabama Department of Public Health
Representative: Dr. Tom Miller

Ms. Joan Wright, Executive Director
Childcare Resources

Attachment 1.4.1 (continued)
Child Care Citizens' Coordinating Committee

Ms. Jeanetta Green, Director
Office of Child Care Subsidy
Child Care Services Division

Mrs. Debbie Thomas, Director
Child Care Services Division

Mrs. Dianne Wright, Director
Office of Child Care Licensing
Child Care Services Division

Mr. Ron Gilbert, Executive Director
Community Action Association of AL

ATTACHMENT 1.6.1

Emergency Welfare Services Disaster Response Plan

The Emergency Welfare Services Disaster Response Plan is available on the Department of Human Resources website at www.dhr.alabama.gov.

Attachment 2.2.9

Child Care Assistance Application

Applications for Child Care Assistance are available by contacting the local Child Care Management Agency (CMA). Applications are also available on the Department of Human Resources web site at the following link:
http://www.dhr.alabama.gov/large_docs/DHR-CMA 1973%20Revised%20CC%20Assistance%20Application.pdf

Applications downloaded from the web site must be submitted to the local Child Care Management Agency.

Attachment 2.3.5

Countable Income

The following income is considered in determining whether a family is financially eligible for services and for establishing the applicable parental fee:

1. **Wages, salaries and tips:** Gross earnings of all family members received for work performed as an employee, including wages, salaries, commissions, tips, and cash bonuses earned, **before deductions** are made for taxes, bonds, pensions, union dues, and similar purposes.

2. **Income from self-employment:** Gross receipts, including the value of all goods sold and services rendered, from one's own business, professional enterprise, or partnership, less a standard business expense deduction of 40% (rounded to the nearest dollar) to cover the cost of operating the business.

3. **College Work Study**;

4. **Social Security:** Social Security benefits and survivors' benefits, and permanent disability insurance payments made by the Social Security Administration prior to deductions for medical insurance and railroad retirement insurance checks from the U.S. Government.

5. **Supplemental Security Income (SSI)**;

6. **Dividends and interest income** (on savings or bonds) from estates or trusts, net rental income or royalties include dividends from stockholdings or membership in associations, interest on savings or bonds, periodic receipts from estates or trust funds, net income from rental of a house, store, or other property to others, receipts from boarders or lodgers, and net royalties.

7. **Family Assistance (FA);**

8. **Pensions and annuities** include pensions or retirement benefits paid to a retired person or his survivors by a former employer or by a union, either directly or through and insurance company, periodic receipts from annuities or insurance.

9. **Unemployment compensation** received from government unemployment insurance agencies or private companies during periods of unemployment and any strike benefits received from union funds.

10. **Compensation received periodically from private or public insurance companies** for injuries incurred at work (the cost of this insurance must have been paid by the employer and not by the person);

11. **Alimony**;

12. **Child Support**;

13. Veterans' pension, includes money paid periodically by the Veterans Administration to disabled members of the Armed Forces or to survivors of deceased veterans, subsistence allowances paid to veterans for education and on-the-job training, as well as so-called "refunds" paid to ex-servicemen as GI insurance premiums.

14. Educational stipends, grants and scholarships available for living expenses (full amount less the amount designated for tuition and books).

Income not specifically identified in this section must **not be considered** for purposes of determining eligibility or in calculating parental fees.

Attachment 2.4.1

Parental Fee Chart

Weekly Fee:	$8.00	$10.50	$13.00	$15.50	$18.00	$20.50	$23.00
Family Size	Initial Eligibility Monthly Income Scale (All New Applicants Must Enter Under This Scale)						
2	368-822	823-956	957-1088	1088-1220	1220 -1353	1354-1486	1487-1594
3	463-1080	1081-1269	1270-1444	1445-1621	1622-1795	1796-1970	1971-2007
4	559-1250	1251-1462	1463-1665	1666-1868	1869-2071	2072-2272	2273-2421
5	654-1476	1477-1713	1713-1951	1952-2189	2190-2425	2426-2663	2664-2835
6	750-1694	1695-1967	1968-2239	2240-2513	2514-2784	2785-3056	3057-3249
7	845-1913	1914-2222	2223-2531	2532-2842	2843-3150	3151-3459	3460-3663
>=8	941-2133	2134-2477	2478-2822	2823-3167	3168-3510	3511-3855	3855-4265

Note: Families with income below the amount shown in the $8.00 column are NOT required to pay a fee. **All fees are per child**.

Weekly Fee:	$30.50	$38.00	$45.50
Family Size	Continuing Eligibility Monthly Income Scale		
2	1595-1681	1682-1801	1802-1839
3	2008-2128	2129-2280	2281-2316
4	2422-2578	2579-2763	2764-2794
5	2836-3026	3027-3242	3243-3271
6	3250-3473	3474-3723	3724-3791
7	3664-3926	3927-4206	4207-4226
>=8	4266-4332	4334-4643	4644-4704

CERTIFICATE OF CHILD CARE AWARD

<Today's Date>

<Parent First Name> <Parent Last Name>   Parent ID:
<Parent Mailing Street Address>   Parent County:
<Parent Mailing City> <Parent Mailing State> <Parent Mailing Zip>

( ) Your initial application for child care has been approved.

( ) Your certification for continuation of child care has been approved.

This is your official authorization to be presented to your child care provider.

PERIOD OF CERTIFICATION
1

From <Date from Report Screen> To <Date from Report Screen>

Child Name	ID	Start Date	Care Level	Schedule Type	Prov Rate	Parent Fee	Net Subsidy	Schedule

_____   _____
            Signature of CMA Worker   Date Signed

Attachment 2.7.1

Payment Rates
Maximum Reimbursement Rates

Regions	Center Full Infant/Toddler	Center Full Preschool	Center Full School	GFDC Full Infant/Toddler	GFDC Full Preschool	GFDC Full School	FDC Full Infant/Toddler	FDC Full Preschool	FDC Full School
Huntsville	$101	$92	$87	$93	$86	$75	$91	$86	$79
Mobile	$101	$91	$85	$82	$78	$74	$88	$84	$84
Birmingham	$111	$102	$94	$94	$90	$86	$89	$83	$84
Montgomery	$95	$83	$79	$77	$74	$66	$81	$79	$78
Opelika	$91	$87	$80	$68	$67	$65	$81	$80	$80
Tuscaloosa	$86	$82	$79	$64	$63	$63	$69	$67	$67
Ft. Payne	$74	$70	$68	$67	$65	$64	$63	$60	$60
Talladega	$73	$70	$70	$81	$66	$66	$64	$62	$60
Dothan	$75	$73	$69	$64	$64	$65	$66	$64	$63

NOTE: Maximum part-time rates will not exceed 50% of the above rates. Maximum informal rates (in-home and relative out-of-home care) will not exceed $35 per week.

Attachment 2.7.4

2009 Summary of Market Rate Survey Results

Regions	Center Infant/Toddler 0 – 2 ½	Center Pre-school 2 ½ - 5	Center School	GFDC Infant/Toddler 0 – 2 ½	GFDC Pre-school 2 ½ - 5	GFDC School	FDC Infant/Toddler 0 – 2 ½	FDC Pre-school 2 ½ - 5	FDC School
01 Huntsville									
Average Market Rate	$116	$107	$102	$94	$87	$83	$97	$95	$94
Rate 10/01/09	$101	$92	$87	$93	$86	$75	$91	$86	$79
02 Mobile									
Average Market Rate	$116	$106	$100	$97	$93	$89	$103	$99	$99
Rate 10/01/09	$101	$91	$85	$82	$78	$74	$88	$84	$84
03 Birmingham									
Average Market Rate	$126	$117	$109	$109	$105	$101	$104	$98	$99
Rate 10/01/09	$111	$102	$94	$94	$90	$86	$89	$83	$84
04 Montgomery									
Average Market Rate	$110	$98	$93	$92	$89	$81	$96	$94	$93
Rate 10/01/09	$95	$83	$79	$77	$74	$66	$81	$79	$78
05 Opelika									
Average Market Rate	$106	$102	$95	$83	$82	$80	$96	$95	$95
Rate 10/01/09	$91	$87	$80	$68	$67	$65	$81	$80	$80
06 Tuscaloosa									
Average Market Rate	$101	$97	$94	$71	$71	$70	$84	$82	$82
Rate 10/01/09	$86	$82	$79	$64	$63	$63	$69	$67	$67
07 Ft Payne									
Average Market Rate	$89	$85	$83	$76	$75	$75	$77	$75	$75
Rate 10/01/09	$74	$70	$68	$67	$65	$64	$63	$60	$60
08 Talladega									
Average Market Rate	$87	$83	$81	$81	$81	$81	$79	$77	$75
Rate 10/01/09	$73	$70	$70	$81	$66	$66	$64	$62	$60
09 Dothan									
Average Market Rate	$87	$82	$76	$79	$79	$78	$81	$79	$78
Rate 10/01/09	$75	$73	$69	$64	$64	$65	$66	$64	$63

Legend
GFDC = Group Family Day Care
FDC = Family Day Care

ATTACHMENT 2.7.4 (continued)

2009 Summary of Market Rate Survey Results

The 2009 Market Rate Survey was conducted by Auburn University Montgomery, Office of University Outreach (Centers for Government and Public Affairs and Demographic Research). Provider were given the opportunity to complete the survey on-line by accessing the Departments website or by mail. Postcard notice of the Market Rate Survey was mailed to providers on April 17, 2009 and was to be completed online by May 22, 2009. Notice was mailed to 3,589 providers. The survey notice included a statement signed by the Commissioner of the Department of Human Resources with instructions for completing the survey. Contact information for child care providers was obtained from the Office of Child Care Licensing database of licensed and church exempt centers, Child Care Subsidy Program resource and referral database of family and group day care homes and other (non faith based) exempt from licensure centers*. The Department asked Child Care Management Agencies, Quality Enhancement Agencies, and State and County Department licensing staff to encourage providers to return surveys. Letters were sent to child care center and home provider associations to ask the associations to encourage their membership to complete the survey.

A paper survey was mailed to providers who did not complete the survey on-line. The deadline for submission of paper surveys was extended until May 29, 2009.

Completed surveys were received from 1,489 providers. The market rate data provided results from 42% of the licensed and legally operating day care providers in the state. The data was cross tabulated by type of provider (Centers, Group Family Day Care Home, and Family Day Care Homes), by care level (Infant/Toddler, Preschool, School age), and by CMA region. There are currently nine (9) Child Care Management Agency regions in the state. Each region serves from 5 to 13 counties.

*Exempt centers include facilities operating less than four (4) hours per day, faith-based centers, centers operated by state or local government, military centers and centers operated by educational institutions.

2011 Market Rate Survey Instrument

Alabama Department of Human Resources
2011 CHILD CARE MARKET RATE SURVEY

A Message from the Commissioner of the
Department of Human Resources

:

Alabama's children are our most valuable resource, and we appreciate all that you do to improve their lives. In order to ensure that Alabama's children continue to get quality child care, it is necessary for us to conduct a market rate survey to determine the rate charged per child in all child care settings throughout the state. This information is vital to determining the reimbursement rate for providers who participate in the Child Care Subsidy Program and the allowable amount used for child-care expenses in the child support guidelines.

We need input from all child care providers in Alabama, even if you do not participate in the Child Care Subsidy Program. Please assist us by completing the survey on our website at **www.dhr.alabama.gov.**

If you have any questions or need help completing the survey, please contact the **Child Care Service Division** at (334) 242-1425 or (866) 528-1964.

Sincerely

Nancy T. Buckner

Nancy T. Buckner, Commissioner

Please submit this survey no later than May 13. 2011 Complete a separate survey for each facility you operate.

1. Please complete the following information about your Child Care Center/Home.

Facility Name:
_____

Facility Address: _____ City: _____ County: _____

Zip: _____ Phone: _____ Email:
_____

2. Indicate (**X**) the type of child care program operated in this Center/ Home.

Facility
Licensed- Day Care Center
Licensed- Family Day Care Home
Licensed- Group Day Care Home
Exempt- Church Affiliated Day Care Center
Exempt- Mother's Day Out Program
Exempt- YWCA/YMCA
Exempt- Boys and Girls Club
Exempt- Government Facility (Military)
Exempt- Educational Facility (Public or Private School)
Other (Please Describe)

3. Indicate (**X**) the type of rate you **publish and charge** the general public for child care.
Weekly: ___ Monthly: ___

4. Indicate that weekly or monthly **rate** (Ex. $120.00) you **publish and charge** the general public for child care for the following age groups. NOTE: The full time rate for **5 years +** refers to the rate charged for full week care provided during the summer and school holidays.

Age Group	Full-Time Weekly/Monthly Rate
Up to 1 year of age	$
1 year old	$
2 years old	$
3 years old	$
4 years old	$
5 years +	$

5. Indicate (**X**) how many of the children you currently serve that have their child care fees **fully or partially** subsidized through the Child Care Subsidy Program?
None: ____   Less than half: ____   Half or more: _____

6. **To better serve you, please also give us your opinion on these other important matters regarding Child Care Management Agencies (CMA) and Provider training.**
Indicate (**X**) your level of satisfaction with the following:

Item	Highly Dissatisfied	Dissatisfied	Satisfied	Highly Satisfied
Accessibility of CMA staff				
Responsiveness of CMA staff				
Accessibility of provider training				
Effectiveness of provider training				

Please provide the name and title of the person completing the survey
Name:_____
Title:_____

Signature:_____

Thank you for completing this survey!

For questions regarding the survey, contact the Alabama Department of Human Resources, Child Care Services Division at (334) 242-1425 or 1 (866) 528-1694.

ATTACHMENT 3.2.7
Alabama Early Learning Guideline Training Assessment

The Alabama Early Learning Guidelines Training Assessment Report is available for review on the Department of Human Resources website at www.dhr.alabama.gov or by contacting the Child Care Services Division at 334 242-1425 or toll free at 866-528-1694.

Attachment 3.3
Quality Rating and Improvement System Steering Committee

1. Dr. Marquita Davis, Commissioner
   Alabama Department of Children's Affairs

2. Ms. Joan Wright, Executive Director/Myra Shaw
   Childcare Resources

3. Ms. Carolyn White, Coordinator
   Poarch Band of Creek Indians

4. Ms. Joan Davis, Interim Chancellor/Virginia Frazer
   Department of Postsecondary Education

5. Mr. William Daniels, President
   Head Start Association

6. Mr. Richard Hardison, President
   Alabama Education Association of Young Children

7. Mrs. Sophia Bracey Harris, Executive Director/Deborah Thomas/Elizabeth Sankey
   Federation of Child Care Centers of Alabama

8. Mrs. Leslie Buchanan Davis, President
   Alabama Association of Licensed Early Care and Education

9. Ms. Rachel Waters, Director
   Lowndes County DHR

10. Ms. Luanne Pugh, Director
    Whitesburg Baptist Church Weekday Early Education

11. Joseph B. Morton, Ph.D./Sallye Longshore (Representative)
    State Superintendent of Education
    Alabama Department of Education

12. Dr. Cary Boswell, Commissioner/Nancy Parker (Representative)
    Alabama Department of Rehabilitative Services

13. Dr. Gregory Fitch, Executive Director/Margaret Gunter
    Alabama Commission on Higher Education

14. Ms. Linda Tilly, Executive Director
    VOICES for Alabama Children

15. Mrs. Gail Piggott, Executive Director
    Alabama Partnership for Children

Attachment 3.3 (continued)

Quality Rating and Improvement System (QRIS) Steering Committee

16. Dr. Parichart Thornton, Chair of Curriculum and Instructions
    Alabama State University

17. Mrs. Linda Hampton, Director
    Alabama Head Start State Collaboration

18. Ms. Margaret (Marg) Peterson, President / Fran Clampitt (Representative)
    Alabama Family Child Care Association

19. Ms. Amy Snellgrove, Licensee
    Family Day Care Home

20. Mrs. Terry Chambliss, Owner / Ami LaBarre (Representative)
    Wetumpka Preschool and Child Development Center

21. Honorable Charles "Barry" Mask
    Representative 31st District

22. Ms. Gayle Cunningham, Executive Director / Calvin Moore, Jr. (Representative)
    Jefferson County Committee for Economic Opportunity

23. Mr. Mark Dixon, Deputy Policy Director
    Governor's Office, State Capitol

24. Mrs. Debbie Thomas, Director
    Child Care Services Division

25. Mrs. Dianne Wright, Director
    Office of Child Care Licensing
    Child Care Services Division

26. Ms. Jeanetta Green, Director
    Office of Child Care Subsidy
    Child Care Services Division

29. Ms. Clementine McGinnis, Quality Coordinator
    Office of Child Care Subsidy
    Child Care Services Division

35. Dawn Ellis
    Children's Health
    Alabama Department of Public Health

36. Ms. Mary Sibert Davis, Executive Director
    Childcare Resource Network

38. Ms. Terrie Reid, Deputy Commissioner for Family Resources
    Alabama Department of Human Resources

Attachment 3.3 (continued)

Quality Rating and Improvement System Steering Committee

39. Mr. Scott Mounts, CEO
    Huntsville YMCA

ATTACHMENT 3.4
Alabama Professional Development Team (APDT)

Teumbay Barnes – FOCAL (Federation of Child Care Centers of Alabama)
Maria A. Dacus – Child Care Services Division, Alabama Department of Human Resources
Karen Dees – AALECE (Alabama Association of Licensed Early Care and Education)
Virginia Frazer – Alabama Department of Postsecondary Education
Deborah Gamble – Child Care Services Division, Alabama Department of Human Resources
Jeanetta Green – Child Care Services Division, Alabama Department of Human Resources
Linda Hampton – Alabama Head Start Collaboration Office
Lillie Hood – Family Child Care Provider
Anita Humphrey – Alabama Head Start Association
Cathy Jones – Special Education Services, State Department of Education
Nancy Lacey – Alabama Commission on Higher Education
Pam Laning –Office of School Readiness, Department of Children's Affairs
Dr. Huey-Ling Lin – Alabama State University
Robin Mears – Alabama Christian Education Association
Clementine McGinnis –Child Care Services Division, Alabama Department of Human Resources
Mary Louise Murdock – Center Child Care Provider
Charlotte Smith – Early Intervention, Alabama Department of Rehabilitation Services
Stacey Sorrell – Child Care Services Division, Alabama Department of Human Resources
Mark Ward – Federal Programs, State Department of Education
Debbie Thomas –Child Care Services Division, Alabama Department of Human Resources
Dr. Parichart Thornton – Alabama State University (ASU)
Rachel Watters – Lamar County DHR, Director, County Directors Association
2   Kathi Wales – Jefferson State Community College
Caroline White – Poarch Band of Creek Indians
Dianne Wright – Child Care Services Division, Alabama Department of Human Resources

ATTACHMENT 3.4a
Quality Enhancement Agencies

Name	**Type Agency**
ALABAMA DEPARTMENT OF PUBLIC HEALTH	*Non-TANF State Agency*
Healthy Child Care Alabama	
Dawn Ellis, Program Director	

AUBURN UNIVERSITY   *Non-TANF State Agency*
Family Child Care Partnerships Project
Dr. Ellen Abell, Program Director

UNITED CEREBRAL PALSY OF HUNTSVILLE   *Community/Non-profit*
AND THE TENNESSEE VALLEY   *Non-Governmental*
Child Care Enhancement with a Purpose
Carol McGuire, Program Director

ALABAMA PUBLIC TELEVISION   *Non-TANF State Agency*
Ready to Learn
Suzanne McFerrin, Program Director

ALABAMA DEPARTMENT OF POSTSECONDARY   *Non-TANF State Agency*
EDUCATION
Leadership in Child Care Scholarship
Virginia Frazer

NORTHWEST-SHOALS COMMUNITY COLLEGE   *Non-TANF State Agency*
Dianne Pace, Program Director

ALABAMA DEPARTMENT OF EDUCATION   *Non-TANF State Agency*
Extended Day / Extended Year
Sallye Longshore, Program Director

ALABAMA PARTNERSHIP FOR CHILDREN   *Community/Non-profit*
TEACH Early Childhood Alabama   *Non-Governmental*
Michelle Raybon, Program Director

CHILDCARE EDUCATION RESOURCES   *Community/Non-profit*
Huntsville Region   *Non-Governmental*
Richardson Hardison, Executive Director

FAMILY GUIDANCE CENTER OF ALABAMA   *Community/Non-profit*
Montgomery Region and Dothan Region   *Non-Governmental*
Kids and Kin Relative Child Care Program
Jeanne Sellers, CCM Division Director

GRCMA EARLY CHILDHOOD DIRECTION   *Community/Non-profit*
Mobile Region   *Non-Governmental*
Wendy McEarchern, Executive Director

CHILDCARE RESOURCES   *Community/Non-profit*
Birmingham Region   *Non-Governmental*
Joan Wright, Executive Director

CHILD CARE RESOURCE CENTER, INC.   *Community/Non-profit*
Opelika Region   *Non-Governmental*
Carlyn Tucker-Simmons, Executive Director

CHILD DEVELOPMENT RESOURCES   *Non-TANF State Agency*
Tuscaloosa Region   *Non-Governmental*
Sally Edwards, Director

CHILDCARE RESOURCE NETWORK   *Community/Non-profit*
Ft. Payne Region   *Non-Governmental*
Mary S. Davis, Executive Director

TALLADEGA CLAY RANDOLPH CHILD CARE CORP.   *Community/Non-profit*
Talladega Region   *Non-Governmental*
Kay Jennings, Executive Director